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Personnel Administration in State Education Agencies in the Years Ahead: A Guide for the Self-Evaluation and Improvement of Personnel Administration in the State Education Agency. Report on the Improvement of Personnel Administration in State Education Agencies Project.

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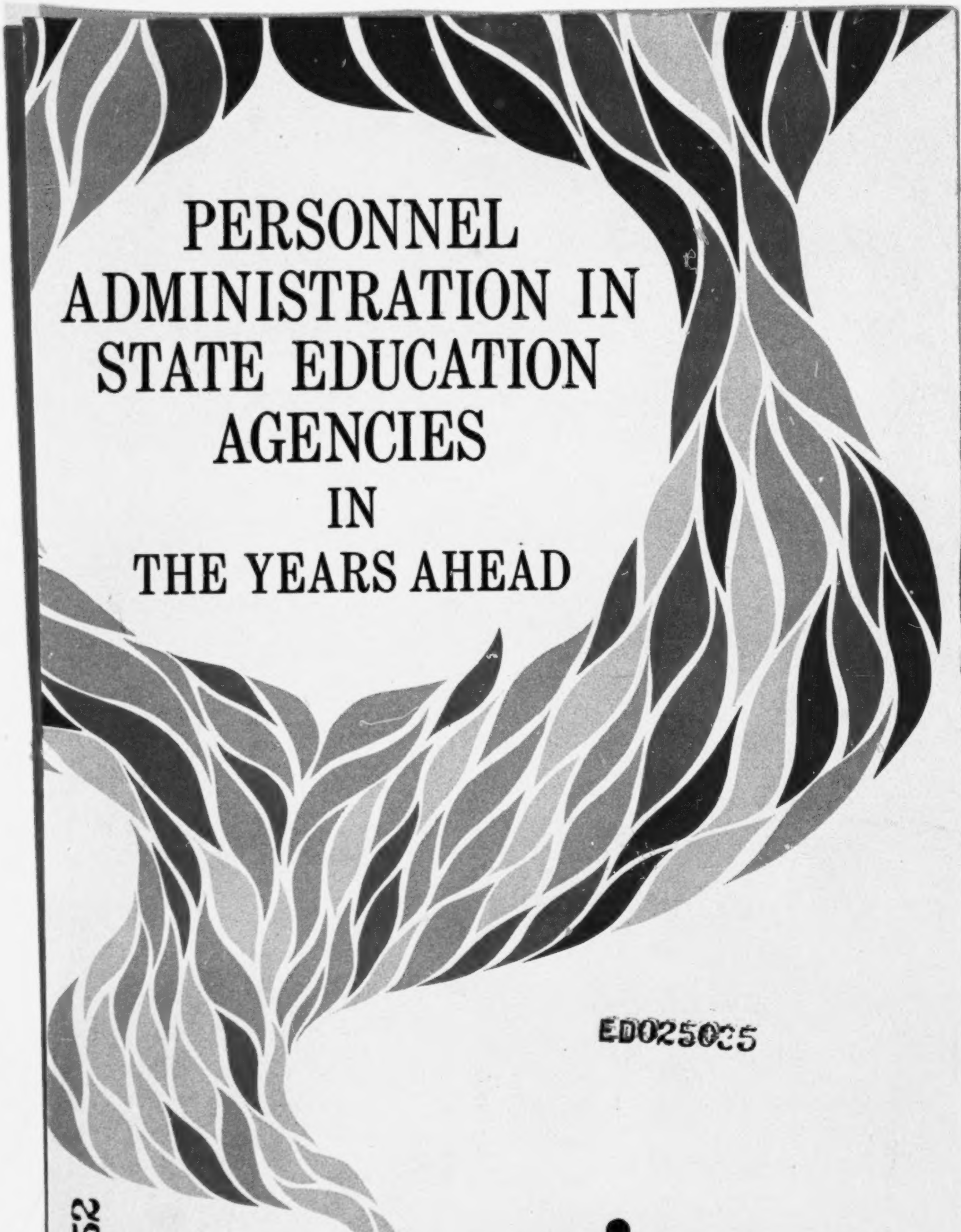
A study of personnel administration in State education agencies leads to the conclusion that the agencies' personnel programs desperately need to be strengthened. The findings and recommendations are based on (1) a comprehensive review of existing personnel practices in State education agencies; (2) a review of personnel management practices in business, industry, and government; and (3) a review of recent literature dealing with modern concepts of personnel administration. The major findings are that most State education agency personnel programs are severely hampered by (1) lack of professional personnel leadership, (2) the control of their appropriated funds being held by outside agencies, (3) low salaries paid their professional staff, (4) lack of attention given to motivating employees, and (5) ineffective communications in the agency. Extensive guidelines suggest ways for the agencies to improve their personnel administration, and a scorecard for each guideline can be used by the agency to evaluate its existing personnel program. Selected references and a glossary of terms are appended. (TT)



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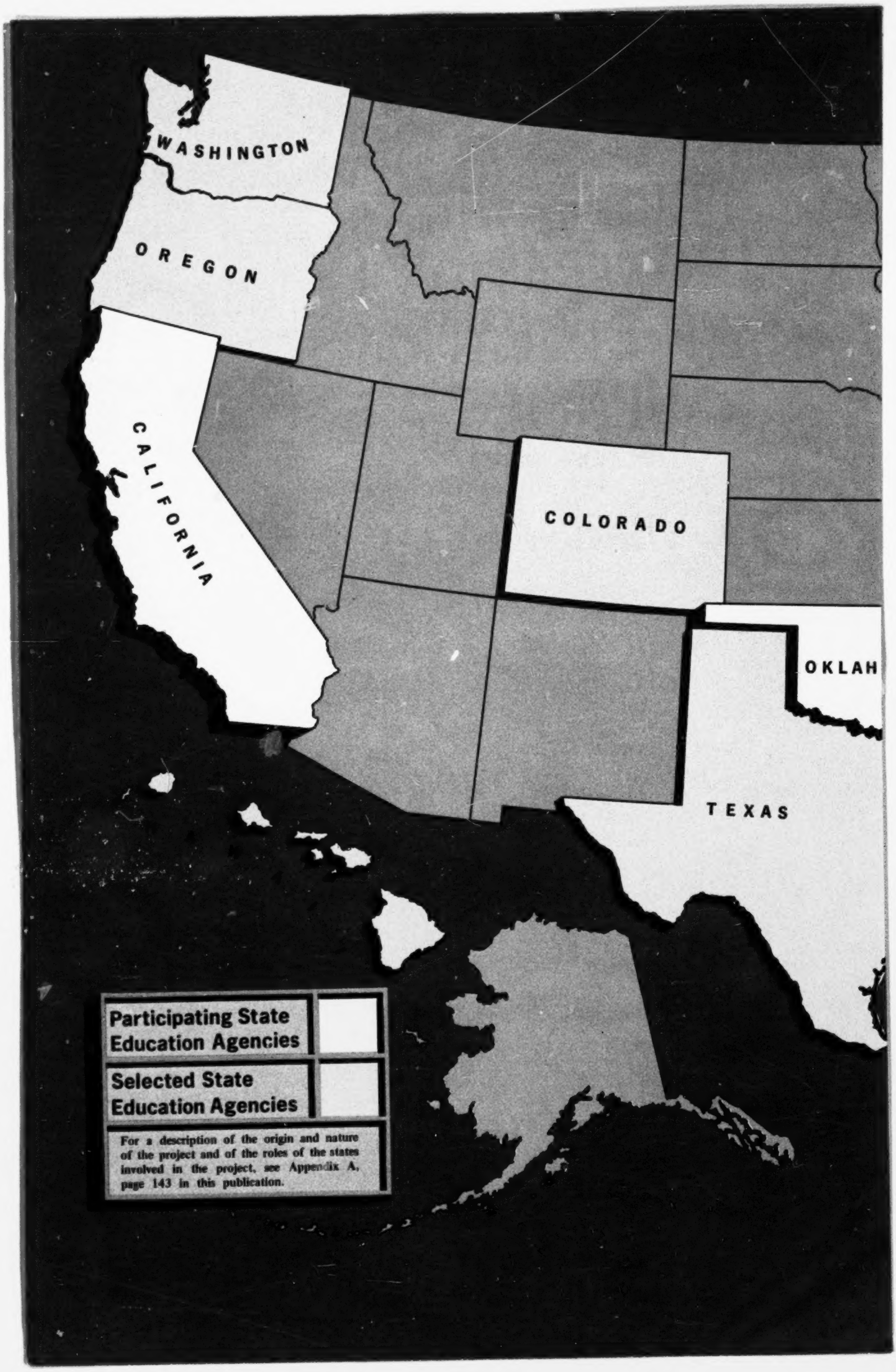
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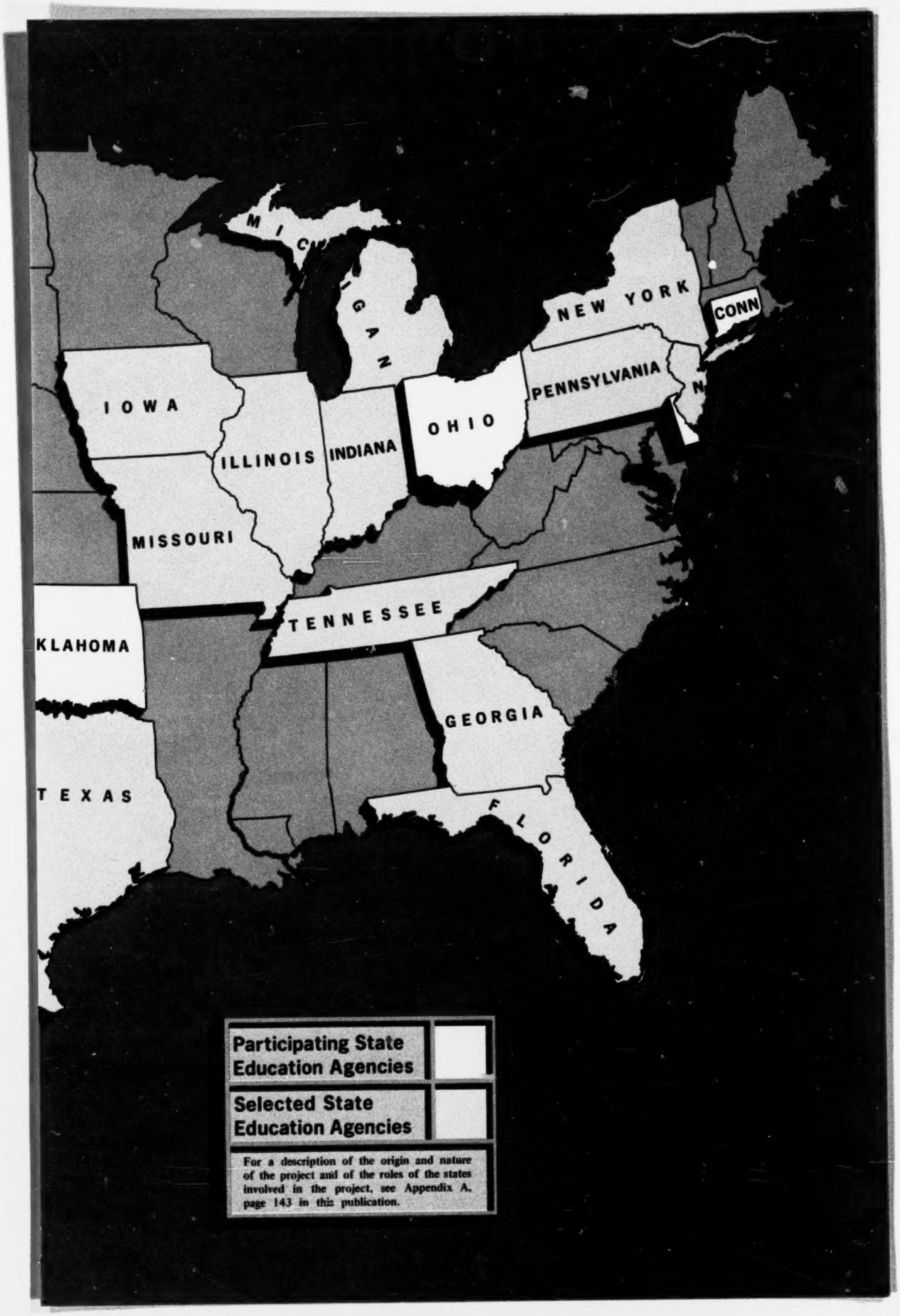
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Personnel Administration in State Education Agencies in the Years Ahead

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A Guide for the Self-evaluation and Improvement of Personnel Administration in the State Education Agency

THE REPORT ON THE IMPROVEMENT OF
PERSONNEL ADMINISTRATION IN STATE
EDUCATION AGENCIES PROJECT
UNDER SECTION 505, TITLE V,
PUBLIC LAW 89-10, 1966–67

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Foreword

This is the report of a study authorized by the Department of Health, Education, and Welfare, Office of Education, Division of State Agency Cooperation, Washington, D. C., under Title V of the Elementary and Secondary Education Act, Section 505 of Public Law 89-10, Special Project Grant. The objectives of the study were (1) to examine the role and functions of personnel administration in state education agencies and to develop guidelines for personnel administration to be used in improving personnel policies, practices, and procedures in such agencies; and (2) to develop guides for use by state education agencies in evaluating their own personnel programs. The project title is "Guidelines for Improvement of State Education Agency Personnel Administration, Including Fair and Equal Employment Opportunities, Title V."

America is witnessing the close of one period in state education agency purposes and the dawn of a new and imposing era. The study proposes that the state agency "tool up" personnel administration in order that it may meet fully the needs and requirements for effective leadership which are clearly emerging. Its recommendations and guidelines are based on a long view of the past—reflecting more than half of this century—and upon forward-looking, creative concepts for the future.

The study is intended as a positive contribution to the development of efficient personnel administration in state education agencies.

LLOYD N. MORRISETT, SR.
Project Director

Acknowledgments

"A grateful mind," said Milton, "by owing owes not, but still pays, at once indebted and discharged." The staff of this project is of "a grateful mind," for they realize, perhaps as no one else can, how difficult, how well-nigh impossible, their task would have been without the encouragement, the loyal support, the hard work given to the project by a legion of men interested and knowledgeable in personnel administration. To all of these people, individually and collectively, the staff acknowledges its deep sense of gratitude. To those whose stimulating interest, constructive criticism, counsel, and critical reading of several preliminary reports contributed so much to the final product, the staff is also grateful.

Personal choice dictates expression of appreciation to each individual who was intimately connected with the project; practical considerations preclude such a possibility. Acknowledgement must be made, however, to certain groups and individuals for their invaluable contributions. Especially, the staff expresses its thanks to the Project Advisory Committee whose cooperation and understanding was a constant source of inspiration as the work on this project progressed; to the representatives of the state education agencies who participated in the regional conferences and whose suggestions, recommendations, and constructive criticisms of the tentative report were of real help; to the consultants—Jess A. Bond, John S. Carroll, Claude Fawcett, Richard Maxfield, Eleanor Roberts, Charles W. Webster, and Donald R. Wheeler—for their penetrating insights into problems and issues basic to an effective, forward-looking personnel management program and for their helpful suggestions, sage counsel, and advice; to Marcel R. DuVall, the U.S. Office of Education Coordinator for the project, for his ever-present loyal support and administrative aid all along the way; to the project committees of the five participating state education agencies whose consultation broadened the scope and gave added depth to the study; to the interviewees in state education agencies, professional educators, and support staff members who individually gave hours of time and careful consideration to the review of personnel practices in the agency; to the more than 800 persons who completed questionnaires designed to gather rank-and-file employee knowledge and opinion concerning the personnel program; to the secretarial staff who worked loyally and devotedly with their hearts as well as their hands; to the many

interested educators, professional personnel directors, and laymen throughout the United States who have staunchly sought to make possible through this study brighter prospects for personnel administration in state education agencies in the years ahead; and lastly the Project Director acknowledges enthusiastically and with pleasure the counsel, advice, suggestions, and assistance of Larry Voss, Assistant Director, and Byron Lewis, Research Associate, who gave so generously of their time and without whose leadership and expertise in personnel management this report would have suffered greatly.

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Highlights

This report examines the strengths, weaknesses, and gaps of personnel administration in state education agencies and, within this framework, recommends guidelines for the improvement of personnel policies, practices, and procedures. The findings and recommendations contained in this report are based on (1) a comprehensive and extensive review of existing personnel practices in state education agencies; (2) review of personnel management practices in business, industry, and government; and (3) a review of recent literature dealing with modern concepts of personnel administration.

The dominant conclusion resulting from this study is that personnel programs in state education agencies desperately need to be greatly *strengthened.* The recommendations herein are based on the premise that vigorous personnel administration in state education agencies is indispensable to the achievement of agency goals and objectives.

What Are the Major Findings?

While some personnel practices were found to be conducive to sound personnel administration, most state education agency personnel programs were sorely in need of improvement. Listed below are major findings which indicate why state education agencies fall far short of attaining the ideal in personnel administration:

- A well-organized personnel program having professional personnel leadership is the exception rather than the rule in state education agencies.
- Many education agency personnel programs operating under the control of a centralized state personnel system (civil service) are severely hampered in developing and carrying out personnel practices effective in the agency.
- State education agencies are seriously impeded in personnel administration and in achieving agency objectives by the control of their appropriated funds by outside agencies.
- Salaries paid professional staff are not attracting and retaining the kind of leadership and innovative talents needed to match today's educational needs—as well as tomorrow's challenges.

- There is little recognition of what motivates employees or attention given to motivating them, as evidenced by the lack of incentive plans, personnel development programs, and effective employee utilization.
- Communications in the agency are grossly ineffective between and among organizational units as well as "up and down" the chain of command.

What Are the Recommendations for Improvement?

It is imperative that personnel administration be recognized as the key element in the success or failure of a state education agency. Such recognition includes the establishment of a forward-looking personnel program in concert with the following recommendations:

- Establish an independently administered agency personnel program operating under *merit* principles, free of the possibility of political influence, and not vulnerable to charges of favoritism or inequity.
- Employ top professional *personnel* staff with responsibility for stimulating optimum achievement of employees in terms of agency goals.
- Establish personnel policies and practices designed to achieve educational program objectives.
- Adapt essential personnel activities such as recruitment, pay, classification, training, and employee benefits to the unique needs of a state education agency.
- Develop effective two-way internal communications so that all employees are adequately informed of and effectively involved in the operations of the agency.
- Stress "personnel planning" functions such as:

  Staffing projections. Planning the immediate and long-term employment needs of the agency, particularly for management and professional people

  Organizational development. Planning and making provision for the meshing of people and their work to meet changing agency objectives

  Salary program. Planning and coordinating the structure of salaries and incentive plans to recognize employee performance and provide meaningful incentives

  Personnel development. Planning employee development programs, within agency needs, to reach employee potential

I

The Need

As early as 1782, Hector St. John de Crévecoeur, a Frenchman who had become a naturalized citizen of New York 16 years earlier, wrote of the young American nation:

> Here individuals of all nations are melted into a new race of men, whose labors and posterity will one day cause great changes in the world. Americans are the western pilgrims, who are carrying along with them that great mass of arts, sciences, vigor, and industry which began long since in the east; they will finish the great circle.

In the nearly 200 years which have passed since those prophetic words appeared in print, the "western pilgrims" have indeed traveled a long way toward completion of "the great circle." Perhaps in no area of endeavor has this been more apparent than in the development of their system of public education. It was not in colonial days but rather in the vigorous age that followed the victory at Yorktown, assuring the 13 colonies their independence, that America's public schools began to take shape as we know them in their more refined form today. The initiative, enthusiasm, and self-reliance born of travail in the morning of America have continued to mark the progress of public education during the nation's years of maturation. Today, the public schools in America are, indeed, *public* institutions: they belong to the people; they relate to and affect the community, the state, and the nation at large.

The American Public School System

The first and probably best argument for universal education, as well as the means for financing it, was stated by Thomas Jefferson. Education at the cost of the taxpayer, he said, would provide a community of "honest, useful, and enlightened citizens, understanding their own rights, and firm in their perpetuation." And, he added, "An amendment of our constitution must here come in aid of public education." Thus, with the ratification of the Tenth Amendment to the Constitution, education in the United States came to be construed as one of the powers "reserved to the States, respectively, or to the people." From that day forward, the ideal which has helped to shape the practices of the schools has been that of an operating democratic segment of society—the school as a democracy in miniature—eliminating in its organization and operation, as far as possible, those features which seem to make for barriers in human communication, avoidable inequalities, discriminatory practices, and other obstacles to human development.

A community organized along democratic lines has certain rights and responsibilities with respect to the control and support of education, and those rights and responsibilities are derived from the very nature of a democratic society. In such a society, the principle that educational control must accompany financial support of the schools is another way of saying "no taxation without representation."

The fact that, historically, the public schools in this nation have been increasingly open to all on a substantially equal basis has helped to reduce the inequities and injustices stemming from accidents of birth and chance environment. Admittedly, the mere provision of an opportunity to go to school falls far short of the ideal embodied in the concept of equality of educational opportunity for all. Inequalities *do* exist, even in this enlightened day, and it is precisely for this reason that the educational process recently has come under closer scrutiny than at any other time in the nation's history. But in America, regardless of the sometimes bitter allegations of her detractors, there is a desire to correct these inequalities and a will to find the means for doing so.

In order that the ideals of democratic society will be brought about in practice, Americans have traditionally placed much faith in the power of a system of schools open to all—free of charge. The *public* character of this education not only operates to provide the financial means for a gigantic educational undertaking but also, by virtue of popular control, it helps to guarantee that the schools will continue to be maintained on a free and universal basis. Nevertheless, though popular sovereignty is the very essence of political democracy, it cannot function directly when its exercise applies to millions of people scattered over vast territories and bound by common national interests. Instead, it must rely upon the complicated machinery of representative institutions. In these circumstances, it is critically important that whenever authority is delegated to representatives, such representatives should be kept responsible to those from whom the authority emanates.

Since popular sovereignty requires that delegated authority eventuate from the people, such authority must be open to review to ensure that it is being carried out in the way the people intended. As Jefferson observed, "The influence over government must be shared by all the people. If every individual which composes their mass participates of the ultimate authority, the government will be safe. . . ." Because educational decisions have a direct effect not only upon the children of a community and their parents but also upon the community as a whole—especially with respect to financial support—all citizens have a right to participate in these decisions. But this right, though one that should not lightly be foregone, is subject to certain checks and balances by the legal structure of public education in the United States.

Individual states conceive broad policies, minimum in number for their systems of education, and the determination of all features other than the required minimum are left to the local community acting as a school district. The community's educational representatives are the members of its elected school board which, acting as a delegated agent of both the community and the state, formulates broad policy at the local level. In turn, the state, through its education agency, holds the local board responsible for fulfilling certain minimum requirements. Within the broad pattern established by the state, the local community works out an educational program which fits its needs as its citizens see these needs. Without educational leadership, however, the programs ultimately devised could be ineffective and haphazard, despite the minimum requirements originally laid down by the state. And since all states proclaim the education of their citizens to be a state function, it is within the state education agency that primary responsibility for educational leadership resides.

Functions of the State Education Agency

Educational leadership, however, is but one function of the state education agency. Two other functions of equal importance are service and administration. All three are largely dependent on research for their effective operation. What is done in education at the state level must quicken and strengthen the initiative and self-reliance of local and intermediate units, lest they lose interest and self-respect and in one way or another negate state leadership.

Leadership

In exercising its leadership role, therefore, the forward-looking, dynamic state education agency staff:

- Accurately senses immediate and emerging patterns of need in and for education
- Effectively collaborates with interested lay and professional groups in planning for ways in which to meet these needs
- Assigns priorities and allocates resources in the development of an overall plan by which problems of real concern may be solved
- Resists pressures from the more vocal or politically influential groups which seek special concessions in the name of educational development, and continually keeps in mind the welfare of all the people who patronize or attend the schools of the state (Many school crises can be traced directly to the demands of honest and often very worthy subgroups who conceive of their special aims and desires as having the most worth of all.)
- Encourages local school systems to experiment by going beyond established minimum standards and mandated programs
- Effectively implements plans and programs of educational development, whether or not these have total support
- Assures school districts an opportunity to choose valid alternative courses of action
- Objectively and accurately evaluates the outcomes of implemented plans and programs, as well as the methods of implementation, as a basis for planning future priorities and allocations and for developing or selecting among alternative methods of implementation

Service

Closely associated with leadership—in fact, an integral part of it—is service: service to school districts, intermediate units, and other departments of state government; service to sections, bureaus, divisions, and personnel within the agency itself. In this sense, service constitutes assistance in developing programs, carrying forward innovations and experiments, providing information, and cooperating actively with teachers, supervisors, directors, principals, and other educators who are seeking to solve problems and improve performances. Service also means meeting specialized needs in a variety of areas; for example, teaching the gifted, using programmed materials, employing educational television, teaching the "new math," and other subjects.

Basic to the organizational concept of the state education agency is the conviction that each professional employee is a dynamic leader in his field. The consultant or supervisor is no less a leader than the section, bureau, or division chief, nor is the quality of his leadership less important. The kind of leadership exerted through the service role is dependent upon the service to be rendered, not upon a leadership hierarchy.

Administration

The administrative functions of the state education agency involve the management and operation of the agency itself and the fulfillment of certain legislative mandates. These functions require sufficient inspection and supervision to guarantee that the policies concerning education are observed in all districts and that funds are disbursed according to law. In exercising these functions, the agency acts only as adviser and consultant; at no time does it attempt to usurp the authority and powers delegated by the state to the local district. Technical matters, of course, are the province of the agency experts assigned to advise or consult with local districts, but popular sovereignty is never invaded in the name of technical decisions. In this way the state education agency guarantees both to itself and to the local district a working relationship that can only result in a high degree of cooperation and mutual understanding.

Philosophy and Rationale of Personnel Administration

To carry out its functions as outlined, the state education agency must have top-quality, highly competent, creative manpower, for only with that resource can the functions of the agency—leadership, service, administration—be discharged effectively. The palpable lack of such manpower constitutes the gravest of handicaps to efficient operation at a time when the state education agency should be in a position to offer peak performance.

The shortage of manpower, however, is not only in terms of quantity but of quality. For this reason, the current project was undertaken with a view to developing guidelines for the improvement of personnel administration in the state education agency so that such agencies could attract and hold individuals with strong leadership characteristics and talents adaptable to the work of the agency. Specifically, then, the project has two purposes: (1) to review in depth existing personnel practices in five participating state education agencies and to conduct careful, though less comprehensive, surveys of other state education agencies; and (2) as stated in the application for the project grant, to develop, from materials and information gathered thereby, "A Guide for the Self-evaluation of Personnel Practices in a State Education Agency."

What, precisely, is personnel administration? It is that staff function of organizational management designed to secure, develop, and retain men and women who possess the skills, attitudes, and knowledge essential for accomplishing the goals of the agency. Since it is an integral function of management, personnel administration shares with management the necessity for:

> . . . transforming men and groups from neutral, technical units into participants who have a peculiar stamp, sensitivity, and commitment. This is ultimately an educational process. The leader as educator requires an ability to interpret the role and character of the enterprise, to perceive and develop models of thought and behavior, and to find modes of communication that will inculcate general rather than merely partial perspectives.[1]

In fulfilling its unique function, personnel administration must assure that work assignments are so designed that an employee can identify quickly and accurately the specific contribution his work makes to the accomplishment of the total work of the agency. He must be able to recognize that the goals for his job are, in fact, within his reach; that they fit into a sequence of goals designed to accomplish the long-range end result sought by the agency; that others in the organization intend to work with zeal and energy comparable to his own; and that the contribution of his job is appreciated not only because it is essential to the achievement of long-range goals but also because it is important in itself. These conditions provide the incentive to the worker to identify with the agency and give the agency his full support and best efforts.

Essentially the work of the state education agency is done by people. When they join the agency, people bring with them their own hopes, desires, and ambitions. The agency likewise has its purposes and goals; however, these are seldom coincidental with the hopes, ambitions, and desires of workers. It is therefore a function of personnel administration to so fuse the purposes and goals that men and groups are transformed "from neutral, technical units into participants who have a peculiar stamp, sensitivity, and commitment."

Personnel administration must reinforce the worker's own ability to recognize those behaviors and acts which contribute to that work-man's best performance in his job. For an employee to be devoted to the goals of the agency, he must know what is expected of him; but, most of all, he must have assistance in determining ways of accomplishing self-imposed agency tasks. While it is true that virtue is its own reward and that self-motivation and responsibility are indispensable, it is equally true that the skill of self-evaluation is something learned and not native to man's most common behavior. Because of this fact, personnel administration must include programs to develop such evaluative skills. Personnel administration must also include programs to redirect an employee's behavior when his performance suggests that previously accepted goals are being controverted.

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[1] Philip Selznick, *Leadership and Administration.* Evanston, Ill.: Row, Peterson and Company, 1957, p. 150.

Since one intent of personnel management is to free an employee to work efficiently and satisfactorily within the agency, it is clear that individuals who are able to fulfill this intent must be selected. The personnel administration process must be proficient enough to identify the sources of prospective employees suited to the agency; to select from such sources those persons who have the skills, attitudes, and knowledge adequate to do the assigned tasks; and to get such persons to join with others in the cooperative endeavor of the agency. Furthermore, after the persons have been selected, personnel administration has the responsibility to introduce the new employees not only to the agency, to the specific goals to be reached through their assignments, and to the other people with whom they will work but also to the constituency—the public school system and the people of the state—which gives meaning to the goals of the agency and to the specific assignment.

It is the obligation of personnel management to provide employees organizational justice. If an employee has developed skills, attitudes, and knowledge that equip him to perform more difficult tasks than the ones he may have been hired to perform, personnel administration has a responsibility to use that person's talents—not only in the best interests of the agency but also in the best interests of the employee. On the other hand, if the employee is unable to carry out his assignment satisfactorily and if he is unable to gain the necessary skills for doing acceptable work and if no other assignment commensurate with his ability is available, personnel management has the responsibility to separate him from the agency. Personnel administration also should keep each employee informed at all times about agency operations, policies, and goals. If the employee has knowledge of importance to the agency, channels of communication should be available so that he can offer suggestions for modifying, augmenting, or making changes in the agency.

Through the personnel program, the agency should provide a salary plan tailored to each position so the employee can secure compensation appropriate to the level and nature of the work he performs—a salary plan that will provide employees with the incentive they need to accomplish the goals of the agency. It is the further responsibility of personnel management to furnish employees with salary supplements to provide for such matters as illness, death in the family, disaster, and adjustment to post-employment.

When the communication processes of the agency are inadequate to carry on essential dialogues between employees and management, it is the function of personnel administration to shore up the communication system and to provide for other means of formal communications such as grievance procedures and negotiations with employee groups.

A Look Ahead

If the foregoing philosophy of personnel administration is implemented in all 50 states, it is not unreasonable to predict that the education agencies in these states can become strong, vigorous, vital, and responsive and can discharge effectively their increasing responsibilities. As cities grow and school systems become larger, as they encounter new and seemingly unsolvable problems, the state's responsibility for the education of its citizens will also become greater. This responsibility must not be allowed to lapse. Already new dimensions are being added to the role of the state education agency with the passage of each piece of federal legislation. Therefore, it is of critical importance that the agency be staffed and organized so that it can meet these new demands effectively.

With the gap widening between educational and societal needs on the one hand and the leadership and services of the state education agency on the other, many agencies are now running the race which they must run to maintain the status quo but are making no headway toward achieving their objectives. In state after state, many large city school systems (except where the statutes are mandatory) have largely isolated themselves from the state education agency. Thus isolated, and proceeding according to tradition and established patterns, there is little hope that an agency can pull itself up into the front ranks of educational leadership, statesmanship, and service. Such a situation invites intervention. On the other hand, if a state education agency has exciting and promising programs that are adequately supported and that are staffed with competent men and women who are endowed with social vision, it will make tremendous progress.

In essence, leadership *is* vision—the ability to project a modified picture of the present upon the screen of the future, to recognize the social needs of today as the educational problems of tomorrow, to admit that change in a dynamic society is inevitable, and so to keep flexible educational policies and procedures. A state agency staffed with top-flight personnel will not solve all of society's educational problems in the near future, but it will provide the means for taking effective action on many fronts.

Unfortunately, some state education agencies observed in this study were found to be understaffed or, what was worse, staffed with personnel ill equipped to extend leadership and give guidance to school systems, legislatures, state officials, and the lay public.

Several factors have contributed to this situation, one of the more important being misplaced emphasis in staff selection. In staffing the office of the state education agency, the chief state school officer must emphasize quality, not quantity; service, not seniority; effective performance of all the agency's duties and responsibilities, not just job security for its employees. When these principles are not observed, it is common to find a number of employees with severe limitations.

These are luxuries a state education agency can ill afford. Since the image an agency projects to the several school districts within the state and to the lay public at large helps determine the confidence taxpayers have in their educational administrative unit at the state level and their consequent support of its endeavors, it is vital that the state education agency be staffed with dynamic, dedicated individuals, not merely tenured employees waiting to retire. This means that once an effective recruitment program has been established, the utilization of each staff member's talents and capabilities must be assured. This is the job and responsibility of management, and this is what personnel administration is all about.

In succeeding chapters, the approach used in this study will be explained, personnel practices in state educational agencies will be reviewed, and guidelines for the self-evaluation of an agency's personnel practices will be presented. The report will develop more fully such matters as projected staff needs; staff procurement; assignment of personnel; orientation, personnel development, and training programs; promotions, transfers, and separations; wage and salary administration; incentive plans and motivating factors; position classification; working conditions; employer-employee relations; and employee benefits.

All of these aspects of personnel administration in the state education agency, as they do in other kinds of enterprise, have a vital effect upon the agency's end product. Unlike that of any other enterprise, however, the end product of the state education agency determines the future of America. It is with the leadership of this agency that de Crévecoeur's "western pilgrims" will indeed finish "the great circle."

II The Study

Many resources were utilized in the preparation of this report. The five participating state education agencies were extensively involved while 16 selected state education agencies provided diversified views of agency personnel problems and practices. Other investigative activities—such as questionnaires to all 50 state educational agencies, surveys, reviews of pertinent literature, examination of personnel practices in business, industry, and government, and the use of consultants—afforded the project detailed facts, opinions, and suggestions. Finally, five regional conferences, to which all 50 agencies were invited, were held to elicit responses to the first tentative draft of this report.

Each of these methods and activities provided invaluable contributions toward realizing the purposes of this report: to present guidelines for the improvement of state education agency personnel administration, including fair and equal employment opportunities, and to propose a guide for the self-evaluation of personnel policies, practices, and procedures in the state education agency.

Participating State Education Agencies

The report is primarily based upon an extensive review of personnel administration in the education agencies of five participating states: California, Connecticut, Delaware, Ohio, and Oklahoma. To understand the status of existing personnel practices in these states, the project team carried out an intensive program of field interviewing at all levels of agency employment. In the course of this program, the team conducted 125 structured in-depth interviews, each requiring approximately three hours, plus 100 supplementary interviews. A total of 122 man-days were spent interviewing agency personnel and working with agency project committees.

During the interviews, three types of questions were applied to each major area of personnel administration as listed in the project outlines: (1) questions which could be answered "yes" or "no" regarding current personnel practices and their adequacy; (2) open-ended questions to elicit pertinent comments regarding personnel practices; and (3) questions asking for suggestions to improve personnel practices and programs.

Interviewees represented a cross section of professional and support staffs in all segments of the organization—top management, new employees, and "old-timers." In addition, interviews with interested employees were held on an "open invitation" basis, specified periods of time being set aside and announced during which any employee might discuss with a member of the project team any phase of the agency's personnel program. Thus, every employee had an opportunity to contribute to the project, and the results in many instances proved fruitful. Approximately 6 percent of the employees in the participating state education agencies were interviewed.

Selected State Education Agencies

Less extensive reviews were made of personnel programs in the following selected state education agencies: Colorado, Florida, Georgia, Hawaii, Illinois, Indiana, Iowa, Michigan, Missouri, New Jersey, New York, Oregon, Pennsylvania, Tennessee, Texas, and Washington. These states were selected to give broader coverage of the state education agency, to verify information previously obtained, to provide new or supplemental information, to discover innovations and promising practices, and to increase the size and diversity of the sample. A total of 34 man-days were spent interviewing personnel.

The interviewers prepared reports summarizing their confidential discussions with the employees in each state education agency, and these reports were analyzed to distill useful generalizations.

Other Investigative Activities

During the time this study was being made, other activities and methods of inquiry were used to supplement and augment the information gathered through interviews.

Questionnaires to State School Officers

Four questionnaires sent to the chief state school officers of the 50 states were used to solicit information on the following:

- Written personnel policies and procedures in state education agencies
- The number of professional and support staff personnel employed
- State civil service and agency fiscal control
- The position(s) in charge of personnel

The 100 percent return of the questionnaires indicated that the improvement of personnel was of vital concern to the state education agencies.

Opinion Survey of Staff Members

A survey form was used to elicit opinions concerning specific aspects of employment in state education agencies from a representative sample of staff members from the five participating states and five of the selected states. Personnel practices about which opinions were sought were in the areas of compensation, working conditions, promotional opportunities and career potential, job satisfaction, employee benefits, communications, equal employment opportunity, performance evaluation, and the advantages and disadvantages of a centralized civil service system.

The form was distributed to a 20 percent random sampling of all full-time employees in each of the participating states and five of the selected state education agencies; the selection was made by choosing every fifth name from an established roster of employees. Respondents were asked to complete the confidential form, maintaining anonymity, and to return it to the project office in Los Angeles, using the self-addressed, stamped envelope provided for that purpose. Of the 1,088 forms distributed, 716 were returned. This response rate of 66 percent revealed high interest in the study among agency employees; the completed forms were considered sufficient to yield satisfactory results when subjected to statistical analysis.

Fringe Benefits Survey by Delaware Agency

The Delaware State Education Agency project committee conducted a survey of fringe benefits received by three groups of professional educators: state education agency personnel, educational administrators in the ten highest paid school districts in each state, and personnel in schools of education in selected colleges and universities. The purpose of the survey was to compare fringe benefits for professional educators in state education agencies with those for comparable positions requiring similar education and experience in other educational settings within the state.

Recent Literature on Administration

The project team reviewed recent literature dealing with personnel administration in education, government, business, and industry for the purpose of gaining insight into the subject areas of this project and for the purpose of discovering ideas for improving personnel policies, practices, and procedures in the state education agency. The review included wage and salary administration, position classification, promotion, transfer, certification and separation, performance evaluation, recruitment, selection, training, employee benefit plans, and employer-employee relationships.

Personnel Practices in Business, Industry, and Government

Personnel administration policies and practices in business, industry, and government were reviewed for two purposes: (1) to learn of forward-looking, imaginative policies and sound innovative practices that might be adapted to state education agencies; and (2) to determine if gaps exist between personnel administration as practiced in state education agencies and business, industry, and other governmental agencies. The review was profitable. Useful and promising concepts were gleaned and have been incorporated in several guidelines which appear later.

Particularly helpful were bulletins, surveys, abstracts, and articles published by the *Wall Street Journal,* the National Industrial Conference Board, the Council of State Governments, the American Academy of Political and Social Science, the Brookings Institute, the U.S. Civil Service Commission, and the Department of the Navy. In addition, many publications describing company personnel programs were supplied by the Bell Telephone System, General Dynamics, Western Electric, Aetna Life Insurance, and Eastman Kodak Company.

The Connecticut State Education Agency project committee reviewed practices in business, industry, and government by studying information from selected corporations and reports developed by the National Industrial Conference Board. The Oklahoma State Education Agency project committee made a similar review of practices in governmental agencies other than educational by examining the literature and reports from selected agencies at municipal, county, and state levels. The Ohio State Education Agency project committee reviewed personnel practices in selected school districts, colleges, and universities in Ohio and adjacent states. The agency project committees forwarded summaries of their reviews to the project office for use by the project team.

Assistance from Consultants

Consultants from the fields of educational administration and personnel administration gave valuable assistance to the project staff while the study was being made. Professors of personnel administration and of public administration also served as consultants.

The project team also secured, through interviews, the consultative services of personnel experts in education, city school systems, business and industry, colleges and universities, and in municipal, county, and state governments. In these in-depth interviews, the project team gave consideration to the philosophy of personnel administration; the purpose of the personnel program, its place in the organization and structure of the state education agency, and its functions within the agency; personnel policies, practices, and procedures; and the contributions of personnel administration to the agency.

State Participation in Project

In addition to having their personnel practices reviewed by the project team, the five participating state education agencies accepted responsibility for specific activities (some already mentioned), and representatives of 40 agencies participated by reviewing the preliminary draft of this report.

Education Agency Project Committees

At the request of the Project Director, each member of the Project Advisory Committee set up an agency project committee of five to seven members in the agency which he represented. The purposes of the agency project committees were:

- To orient the agency's professional and support staff to the study —its approach, design, and purpose
- To secure support for the study within the agency and cooperation from its employees
- To coordinate and facilitate the work of the project staff in making the comprehensive review of the personnel administration within the agency
- To make a substudy for the project under the general direction of the project team
- To supervise the distribution, use, and collection of questionnaires, check sheets, and inventories within the agency

The agency project committee substudies were as follows:

California: Training and personnel development programs

Connecticut: Personnel practices in business and industry

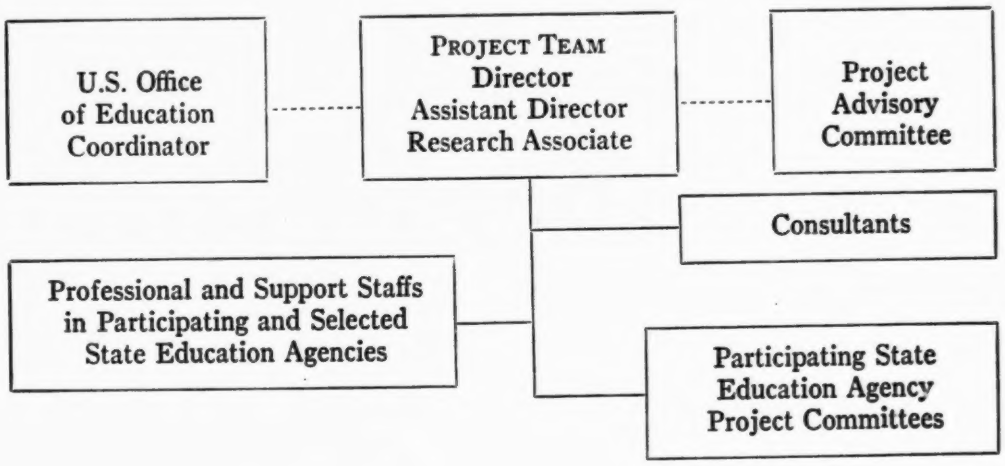
Delaware: Fringe benefits in state education agencies and perquisites in city school systems, colleges, and universities throughout the 50 states

Ohio: Personnel policies and practices in public school systems, and in colleges and universities in Ohio and adjacent states

Oklahoma: Personnel practices in municipal, county, state, and federal governments

The chart below depicts the working relationships of the personnel involved in this project:

GUIDELINES FOR IMPROVEMENT OF STATE EDUCATION AGENCY PERSONNEL ADMINISTRATION, INCLUDING FAIR AND EQUAL EMPLOYMENT OPPORTUNITIES, ESEA, TITLE V


U.S. Office of Education Coordinator
PROJECT TEAM
Director
Assistant Director
Research Associate
Project Advisory Committee
Consultants
Professional and Support Staffs in Participating and Selected State Education Agencies
Participating State Education Agency Project Committees

Regional Conferences

During September and October, 1967, regional conferences were held in Dover, Delaware; Hartford, Connecticut; Oklahoma City, Oklahoma; Columbus, Ohio; and San Francisco, California. The state education agencies in all 50 states were invited to send representatives to one of the regional conferences. The states included in each region were:

- *California Region.* Alaska*, Arizona, California, Hawaii, Idaho*, Montana, Nevada, Oregon, Utah, Washington, and Wyoming
- *Connecticut Region.* Connecticut, Maine, Massachusetts, New Hampshire, New Jersey, New York, Pennsylvania, Rhode Island, and Vermont

- *Delaware Region.* Alabama, Delaware, Florida*, Georgia*, Maryland, North Carolina, South Carolina, Tennessee, Virginia, and West Virginia
- *Ohio Region.* Illinois*, Indiana*, Iowa*, Kentucky, Michigan, Minnesota, North Dakota*, Ohio, South Dakota, and Wisconsin
- *Oklahoma Region.* Arkansas*, Colorado*, Kansas, Louisiana, Mississippi, Missouri, Nebraska, New Mexico, Oklahoma, and Texas

* Did not attend.

The purpose of these working conferences was to have the representatives review a draft of the final report and thus to obtain constructive criticism for its improvement. Following the regional conferences, the project staff incorporated recommendations and suggestions for changes in the draft report.

Overview of Project

The Improvement of Personnel Administration Project began in October, 1966, and was concluded about 15 months later. During this entire period, the director and members of the project team were met with enthusiastic assistance, candid responses to questions, and great hopes for the outcome of the project by representatives of the 21 state education agencies included in the review sample and by the U.S. Office of Education. Personnel of the state education agencies answered questions, provided physical facilities, and gave complete freedom to the project staff to make the review and to proceed in an atmosphere of professional and intellectual harmony.

This report is a review and a guide; it is not a handbook on how to administer a personnel program. It states principles and recommends goals, standards, and courses of action for the improvement of personnel administration. It is the product of a process designed to glean effective concepts and innovative practices from state education agencies, other agencies of government, recent literature, and business and industry that will, when accepted and applied, improve personnel administration in state education agencies. It is a report of progress in a continuous process and should serve as a valuable guide to state agencies.

This project report is not a blueprint to be accepted, implemented, and followed *in toto* by each of the 50 state education agencies. These agencies differ markedly and in numerous ways, but all have one common need: improved personnel administration. It should be distinctly understood that the report's many facts, proposals, and recommendations are peculiar—and sometimes unique—to some state education agencies and do not apply to others.

The road that leads to the kind of personnel program with the high qualities desired by the agencies themselves and by each of the 50 states is long and uphill, and the work required to build such a program will be challenging, exacting, and seemingly endless. However, if state education agencies continue to strive for improved personnel administration and, in so doing, use effectively as a guide this report, *Personnel Administration in the Years Ahead,* it is believed their personnel will create exciting, productive educational programs and prepare well the way for the twenty-first century.

III

The Findings

Basic to the development of guidelines for future personnel administration is an understanding of personnel practices currently in operation. A necessary phase of this project, therefore, was the project staff's visits to state education agencies for on-the-spot observations and interviews, supplemented by questionnaires mailed to those agencies. This chapter is a report on what was seen and heard regarding the status quo of personnel programs, and it contains a report on the promising practices observed in the agencies. Obstacles to good education agency personnel administration are also considered in this chapter.

Personnel programs in 21 state education agencies—from Hawaii to Florida and from Texas to Connecticut—were reviewed. The agencies ranged in size from 189 employees in Delaware to 3,115 in New York. Their personnel programs were operating under varying degrees of control—from rigid state civil service systems to complete personnel independence. In some of the agencies, no professional personnel leadership was evident; in others, sophisticated personnel programs were functioning.

In reviewing the personnel programs in the 21 state education agencies, the project staff attempted to get accurate pictures of personnel practices as perceived by employees representing all segments of the state education agencies. Top administrators, unit heads, professional educators, professional support staff members, technical employees, and clerical employees from each major work area of the five participating state education agencies were interviewed. These interviews gave the project team a view of agency personnel practices from different perspectives and allowed the team to determine the difference between what the practices were thought to be by groups of employees and what the practices actually were.

The project team's reviews included extensive studies in the five participating state education agencies, supplemented by (1) less extensive studies in 16 selected agencies; (2) responses to an opinion survey by 10 percent of the employees in ten of the 21 agencies visited; and (3) responses of all 50 state education agencies to questionnaires sent to chief state school officers. The project team held extensive interviews with 6 percent of the employees representing all staff members in the five participating state education agencies. Interviews were also conducted in the 16 other agencies visited to supplement the five-state sample.

Detailed personnel actions were observed firsthand by the project team in the five participating education agencies. Reviews of agency publications covering such matters as personnel policies and fringe benefits were useful in determining existing personnel practices. The project team also reviewed reports of personnel management studies concerning state education agency personnel programs. The opinion survey proved to be helpful in identifying consensuses[1] and confirming and clarifying impressions secured through other means.

Many vexing and inhibiting problems were revealed which impede the improvement of personnel administration in these agencies. The problems were found to result from (1) severe competition in the personnel marketplace; (2) stringent laws governing personnel administration in state education agencies; (3) personnel and fiscal controls exercised by other departments of state government; and (4) lack of effective personnel leadership exercised by top administrators. On the brighter side, many promising personnel practices were identified as well, and these are identified in this chapter.

Factors of Influence

This section identifies some factors having a direct influence on state education agency personnel administration, and it will provide a framework for understanding the status of agency personnel programs. Later sections of this chapter delve into the specific elements and activities of state education agency personnel programs.

State Power Structure

The first factor of influence is the place and role of a state education agency in the state power structure; i.e., its relationship to other state agencies, the legislature, the executive branch, and political parties.

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[1] The term "consensus" as used in this report means the response of the majority of interviewees and represents all staff members of the state education agencies reviewed.

Administrators at various levels in the state education agencies visited indicated that the agency had a "poor position" in the state power structure that influences or makes decisions regarding statute changes and appropriations affecting the agency. Administrators in the majority of agencies gave examples of having agency requests for salary increases and new positions denied. Examples also were given of agencies not being involved in legislation affecting the establishment of teaching credential requirements and new educational programs. Interviewees explained the ineffectiveness of the agency in influencing such legislation stemmed from the lack of liaison, representation, and rapport with the state legislature and the governor of the state.

Political influence. Administrators in the agencies reported the need to protect personnel actions from ever-present political influences. Ironically, some of the chief state school officers with highly prestigious positions in the power structure were elected officials vulnerable to political pressures.

Political involvement of the chief state school officer varied from state to state: On one end of the continuum was the partisan office-holder whose staff could change whenever the administration of the state changed from one political party to another; at the other end was the appointed chief state school officer whose staff was protected by civil service rules and regulations.

The advantage of being under a state civil service system, according to agency administrators, was that it served as a buffer between the state education agency and politicians, thus lessening the influence of politics on personnel actions. Agency administrators in the three states where party politics was reported to be "a way of life," however, said the state civil service system in their states had been no guarantee against political interference in the selection process.

In nine agencies in which the professional staffs were not under civil service and were said to be free of political interference, administrators were asked what factors protected the agency from political influences in personnel actions. Appointment of the chief state school officer by a nonpartisan state board of education was reported to be one means of protection. The only real and lasting protection against political interference, however, was reported to be the integrity of administrators in establishing and maintaining fair and equal selection and retention policies and procedures.

Personnel control. The relationship of the state education agency to the state personnel agency is another influential aspect of the power structure. This relationship was found to be one or a combination of the following:

- A state personnel agency with final authority for a major portion of the professional and support staff personnel program in the state education agency
- A state personnel agency with final authority for a major portion of the support staff personnel program in the state education agency
- A state personnel agency with little or no authority over the state education agency personnel program

It was found that nearly half (42 percent) of the 50 agency professional staffs and more than half (60 percent) of the agency support staffs were controlled by state personnel agencies. In response to a question asking whether civil service was an advantage or disadvantage, the majority of chief state school officers said it was a disadvantage. The majority of chief state school officers with staffs actually under civil service, however, said it was an advantage for the support staff, but opinion was divided in regard to the professional staff.

The written comments of top administrators in all 50 agencies and unit heads in the 21 agencies visited indicated that systematic and organized personnel programs were desired but that those under state civil service systems tended to be overly rigid and cumbersome. Comments of interviewees and observations made of procedures in state education agencies under state personnel agency control revealed that much of the time and energy of administrators that could have been focused on creating more effective personnel practices was being spent in overseeing paperwork required by the outside agency and, in some instances, in finding loopholes in restrictive civil service procedures.

Fiscal control. Fiscal controls exercised by state departments over the state education agency in some cases also were found to be impediments. More than half of the 50 agencies (55 percent) reported they did not have sufficient authority for expenditure of appropriated funds to carry out the state education program satisfactorily. Detailed fiscal control was exercised over education agencies by a close review of a line item budget and often by a review of proposed expenditures after funds had been appropriated.

Also indicative of controls from outside the education agency was the fact that over 50 percent of the state education agency classification and pay programs were controlled by state fiscal or personnel agencies through approval or denial of proposed actions.

State Education Agency Size

The size of a state education agency is a prime factor influencing its personnel program. Since it was found that the approximate sizes of state education agency staffs ranged from 100 to 3,000, the amount of written information and detailed procedure required for programs differed markedly. The larger agencies tended to have more established practices and procedures. This should not be interpreted to mean that personnel planning or programs are not needed in the smaller agencies as some interviewees, justifying the lack of programs, indicated. It does mean that the personnel practices are less complicated in the small agencies as a result of few supervisory levels, light work loads, and minimal specialization of assignments.

Personnel Director in Agencies

Of 47 agencies polled, 23 indicated they had a person responsible for the personnel program. The minimum qualifications for personnel director positions ranged from less than a bachelor's degree and no experience in personnel work to a master's degree and 12 years of experience in personnel administration.

The beginning salaries for personnel directors in state education agencies ranged from $7,044 to $17,230, and the maximum salaries ranged from $9,000 to $22,791. The highest salary may be misleading since that person was an assistant chief state school officer with responsibility for other functions as well as personnel. The mean range of all personnel director salaries was $10,718 to $14,164, and the median range was $10,380 to $13,908.

The salaries paid and minimum qualifications required for a personnel director indicate the amount of expertise expected of the incumbent and the personnel responsibilities which he is given. The role of the personnel director in an agency ranged from a paper-shuffler to a personnel expert with direct or advisory responsibility for all actions of the agency affecting personnel.

In agencies where there was no personnel director, existing personnel programs were found to be decentralized and fragmented. An oft repeated comment from unit heads in these agencies was, "There is no time to devote to planning personnel practices."

Federal Program Impact

Personnel administration in the majority of agencies has been significantly affected by federal programs. Generally speaking, the increase in agency professional and support staff members for federal programs and the procedures required by the federal government regarding staff recruitment, pay, and utilization have complicated personnel actions to the extent that planned personnel programs now are required where previously there were none. For example, one agency was in the predicament of needing 150 new employees during the 1966–67 fiscal year for job openings in which there were problems in recruiting even one staff member.

To paraphrase agency administrators: when the staff of an organization doubles within two years, which on the average has been the case during the past two years in state education agencies, a reorganization of personnel programs is mandatory. On the positive side, however, federal programs have made funds available for the establishment of professional personnel positions such as personnel directors and training officers.

The personnel problems besetting agency administrators as a result of federal programs have been compounded by the lack of information and decisions regarding the continuation of both programs and salary funds. Apropos to this, recruiters reported that staff procurement itself was hampered by lack of information on how long a federal-funded position might be continued.

Some agency administrators reported they made the decision to pay persons in federal-funded positions at a higher scale than those in state-funded positions. This was possible because federal funds available for a given classification were higher than state salaries for the same or comparable classes. The decision was made, they said, because current salaries were not high enough to attract the number of candidates needed for federal programs. The decision, however, had a detrimental effect on the morale of state-funded personnel.

Although there are specialized positions for federal programs which require special salaries, evidence indicated that setting different salaries for the majority of comparable state- and federal-funded positions was undesirable. As an alternative, at least two agencies used the more generous salaries authorized for federal programs as a logical basis for requesting general salary increases, which resulted in raising all professional salaries to a level more in keeping with those in competitive organizations.

Agency Role and Image

The majority of agencies are coming, or have come, into an era when leadership is emphasized as the prime function of the agency. State education agencies, however, have yet to clarify their role to the extent that employees are selected and trained to carry out leadership roles. Leadership, service, and inspection were given equal emphasis in some units.

Agency administrators stressed the need to increase appropriations to attract the more highly specialized and creative candidate, to establish new positions, and to cover reorganization costs in order for the agency to shift from a regulatory role to one of leadership. The review of agencies made it clear that portions of a personnel program (such as recruitment, salary, and training activities) appropriate in an agency stressing inspection were archaic in an agency emphasizing leadership.

It was found that some state education agencies emphasized the inspectorial or regulatory function. The reason given was that much inspection was required by law. It was also reported that some legislators viewed the regulatory function as the only legitimate one for the agency; therefore, these legislators tended to view proposed statute changes and requested appropriation increases negatively if a shift of functional emphasis from inspection to leadership might result.

Reportedly, the image of the state education agency in a legislator's mind affects the probability of obtaining increased appropriations. The relationship of the chief state school officer to the legislature as a whole is of primary importance to this image. It was frequently reported, too, that in the smaller states negative reactions of legislators to the role and quality of professional staff members in the agency has led to a poor agency image and the consequent lack of legislative support.

It is obvious then that the state education agency is in the position of needing to improve its image and the image of a leadership role for itself as well in order to receive appropriations adequate for it to assume and exercise an appropriate leadership role.

Background of Agency Administrators

State education agency personnel administration is affected by the background and experience of administrators and staff members. The fact that agency administrators, for the most part, were previously school district administrators has resulted in the transfer of school district personnel practices and attitudes to state education agencies. The general lack of performance evaluation programs in the agencies, for example, was reported to be the result of a consensus among school personnel that "no effective means has been devised to rate teacher performance." Another example was that education administrators tended to base classification levels on minimum qualifications or degrees obtained, rather than on differences in duties and responsibilities.

Personnel Policies

In response to a questionnaire sent to the 50 state education agencies, 35 reported they used published personnel policies; 15 agencies said they had none. The majority of documents referred to, however, were found to be administrative and procedural handbooks usually containing specific rules and regulations, rather than policy statements enunciating the personnel philosophy of the agency and providing alternatives for action.

An example of a policy statement and of a regulation follows:

> (*Policy*) Minimum Qualifications: The State Board of Education requires that all candidates for employment meet the minimum qualifications set forth in Table I of the Appendix. The purpose of requirements for appointment to a given position and rank is to ensure that individuals have received the systematic preparation through organized study and/or experience to enable them to serve acceptably the State Department of Education in the positions to which they are appointed. It is a basic assumption that persons with accredited study and demonstrated successful experience can probably provide more or higher quality service than those without such study and experience. The Board recognizes, however, that in some instances such minimum qualifications will be satisfactorily met through equivalent combination of experience and training. Some persons may demonstrate adequately their capacity for service in ways other than by accredited courses or academic experience.
>
> (*Regulation*) Reemployment of Retired Personnel: Retired state employees who have not reached the age of 70 may be reemployed not to exceed 90 days in any calendar year. Such employees are placed in temporary appointments and may not be paid from petty cash.

It was observed that when education agency personnel actions were under the authority of a state personnel agency, there were usually handbooks for all state employees containing regulations and some policy statements. In these instances, state education agency policy statements were typically in the form of individual memoranda which may have included subjects not covered by state personnel agency publications. In education agencies not under a state personnel agency, the range of publications was from no personnel information to a published summary of rules, procedures, and policy statements concerning most personnel matters.

When no comprehensive source of written personnel policies was available in the agency, all interviewees other than top administrators stated that written policy information was needed. The lack of an organized personnel program was most often referred to as the reason why written personnel policy statements had not been developed.

Staffing Plans and Projections

Little evidence was found in state education agencies of formalized procedures to develop forecasts of the number and kinds of employees needed in the future. The planning for meeting manpower requirements, for the most part, is accomplished in the agency budget process as an integral part of formulating requests; therefore, projections are limited to one or two years.

Professional staff members in four of the five participating state education agencies indicated that these budget projections were distorted in many instances because unit heads believed the state fiscal agency, the state personnel agency, the legislature, and the governor had to be second-guessed. That is, unit heads are said to develop budget requests on the basis of what staffing funds and positions they believe to be obtainable.

When asked if staff planning was keyed to the long-range objectives of the agency, the majority of interviewees responded, "No." The only example found of an agencywide projection of staffing requirements was a five-year projection based on population trend lines made by an education agency personnel office at the request of the state personnel agency. Some isolated examples were found of long-range staffing projections at the unit level, however. One plan consisted of organization charts showing the agency's classification and number of positions and functions and organization now, two years from now, and five years from now.

The consensus, however, among unit heads was that long-range planning of manpower requirements is often frustrated by internal as well as outside controls. One of the greatest deterrents to long-range staffing projections was reported to be the practice made by top administrators in the state education agency and administrators in other agencies of determining the priority of items in budget requests. That is, budget requests essential to achieving unit objectives of the highest priority are often deleted while requests with lower priority are retained without consultation with the unit head. Such priority decisions made by agency administrators, representatives of the state finance agency, or legislators have reportedly discouraged unit heads from making long-range program plans and forecasts of manpower needed to carry them out.

Other factors reported which prevent or discourage state education agency administrators from determining long-range staffing needs were the uncertainty of federal funds for the continuation of programs or projects and the lack of statistical records and reports such as agency turnover rates and retirement expectations.

In regard to short-range planning, unit heads usually had the responsibility for anticipating staff vacancies. Techniques used to ensure continuation of unit functions were the grooming of individuals to assume key jobs as they became vacant and rotation of staff members so that each person could perform other assignments when necessary.

Staff Procurement

The review of state education agencies revealed that the majority of agency unit heads believed recruitment programs to be inadequate because of job market problems or insufficient agency efforts. The causes most often given were low salaries, legal restrictions, and ineffective recruitment and selection procedures. In general, problems concerning recruiting practices were observed and reported in each agency visited.

Recruitment Practices and Selection Methods

Staff procurement practices in the agencies ranged from the absence of an organized program to rigid procedures controlled by state civil service. In three of the 21 agencies visited, the recruitment of support staff followed state civil service rules and regulations while the recruitment of professional staff was an agency responsibility. There was no evidence of agency policy statements on recruitment and selection in those education agencies reviewed.

In nine agencies without a planned and organized staff procurement program, problems reported were (1) a duplication of unit recruitment efforts; (2) morale problems caused by inconsistent agency practices in such matters as minimum qualifications and salary; (3) a limited number of qualified candidates; and (4) the elimination of qualified candidates by politically influenced selection practices.

Eight of the nine agencies which did not have an organized staff procurement program were not under civil service. Typically, they did not announce vacancies, did not use organized screening methods such as selection committees, and had no established selection procedures such as contacting prior employers.

One agency, independent of state civil service control, had an organized staff procurement program for professional staff members. It used the following procedures:

- Advertised the majority of professional vacancies nationwide

- Previewed and screened applications to determine qualified candidates
- Involved lay committees in the selection of persons for key positions
- Used a selection committee comprised of three or more persons from the agency, or outside the agency, who were knowledgeable in the field involved to interview and rank candidates

Most of the 30 state education agencies with a portion of their staff under the jurisdiction of a civil service system had staff procurement practices that included planned recruitment campaigns, screening procedures, and competitive examinations. Agency programs under civil service systems, however, were reported to be seriously hampered by the rigidity and details of the system.

Criticisms of civil service staff procurement procedures most frequently registered by interviewees in the 12 agencies under civil service visited were that:

- Written tests discourage professional candidates from applying for positions, and test material is not relevant to the performance of the job. (It was found that written examination validity and reliability studies have not been conducted.) Apropos of this, one administrator summarized comments of unit heads and professionals interviewed in the participating states: "In these times of intensive competition for first-rate professional personnel, the civil service system adds to the problem of recruitment. Top-level personnel in schools and colleges do not react well to the requirement that, in order to hold a permanent position in the state education agency, they must pass a civil service examination. Consequently, many excellent candidates for positions have been lost because of the examination system."
- The time lag between an anticipated vacancy and the availability of a list of candidates renders the testing program unsuitable for agency needs. In some education agencies, excessive time lag in the examination process was reported to be chronic.
- Appointment of individuals pending an examination at a later date, which was practiced in two agencies, creates administrative and morale problems. In the first agency, interviewees reported that morale was affected because the agency appointed persons without due consideration of potential candidates. In the second agency, unit heads reported that candidates were hesitant to accept appointment if a written examination might be required at a later date.

- Limiting appointments to the top name or names on a list of candidates is too restrictive. In state education agencies where the agency had to appoint the top candidate on a list of eligible candidates or one of the top three candidates, interviewees stated that a greater choice was needed.

One agency has been successful in solving some of these problems by securing authority from the civil service commission for developing and administering its own test procedures for professional personnel. This includes writing the test material, establishing the oral interview board, and determining the rankings of successful candidates. The agency has streamlined the selection process so that a candidate can be screened, tested, interviewed, and offered employment or advised concerning his candidacy in one day.

A predominant finding regarding recruitment of professional staff members was the tendency to fill vacancies from within a small and relatively restricted field of candidates. The pattern most often reported was to employ someone known to agency administrators through work relationships. Therefore, appointees usually are school district administrators readily available to the agency rather than appointees resulting from competition with candidates responding to a broadly advertised position vacancy.

In general, position vacancies were not advertised in at least half of the 21 agencies reviewed. Some agencies recruit only within state boundaries. It was found that one of the consequences resulting from limited recruitment was that administrators who, for example, select professional personnel based upon personal acquaintance limit recruitment primarily to public school personnel. Professional personnel, within the agencies, therefore, tend to be homogeneous.

The practice in one agency was to employ older school district administrators, usually superintendents approaching retirement age. Interviewees in this agency identified two problems resulting from such appointment practices: (1) a large portion of agency personnel had to be replaced within a short period of time; and (2) the majority of assignments were performed by generalists rather than busy specialists.

Critical problems were reported in regard to recruiting specialists. This was said to be due to an acute shortage of qualified personnel such as research specialists, electronic data processing analysts and programmers, educational TV experts, fiscal advisers, and some educational specialists.

State education agencies are in competition with universities, the U.S. Office of Education, federal programs, and business and industry for qualified people. To meet this stiff competition for competent persons, some state education agencies have in some instances broadened recruitment boundaries, sent agency recruitment representatives out of state to seek candidates, paid candidates' interview expenses, and paid appointees' moving costs. Agencies, however, reportedly were experiencing difficulties in obtaining appropriations from state legislatures to improve their recruitment practices.

Discrimination in the Selection Process

Discriminatory practices, other than those directly affecting minority groups, were reported or observed which preclude staffing state education agencies with the most qualified individuals available. Some examples of the most prevalent discriminatory practices are cited in the paragraphs that follow.

Veteran's preference. The most obvious form of discrimination reported was veteran's preference, which usually was based in state law as a part of state civil service selection procedures. Veteran's preference provisions discriminated against qualified women and others who had not served in the armed services during prescribed periods of national conflict. Unit heads and the personnel director in one education agency reported that the veteran's preference law created one of the most serious recruitment problems they had. The agency was unable to employ excellent candidates with doctorates if they were not veterans since any qualified veteran on an employment list had to be appointed.

Political influence. Political influence in most staff appointments was reported by the majority of interviewees in three agencies. In two agencies, interviews revealed that the political party in power had to approve candidates as a prerequisite to employment, thus excluding all qualified candidates not of the political party in power and, in some cases, those unwilling to perform campaign work. In the third agency, interviewees reported that individuals were appointed at the request of influential persons or groups, not necessarily political, outside the agency. Adherence of agency administrators to political pressure in regard to personnel decisions was alleged by a few interviewees in most agencies.

Superfluous prerequisites. Examples were reported and observed of prerequisites to appointment which required more experience and training than necessary for the job to be performed. Interviewees in each education agency reported examples of position requirements or examination materials which were thought to be inappropriate for specific classifications. For example, an agency with the need for a specialist in the Bureau of National Defense Education was unable to appoint the best candidate available because the written examination eliminated individuals without broad experience in education administration.

Vacancy announcements. The most prevalent discriminatory practice identified was the exclusion of candidates from competition because the position vacancies were not publicized and application procedures were not made.

Factors Affecting Recruitment

One important factor identified through interviewees' comments which affected recruitment and retention of top personnel was the reputation of the state education agency. Agencies were reported to have little difficulty in recruiting employees for those units in which the supervisors were known to possess leadership qualities and to give their staff members freedom to develop programs.

Education agencies have lessened, to some degree, the effects of a potentially serious salary disadvantage by providing incentives such as challenging assignments and a creative work climate. In one such agency employees tended to be content with their work and saw a future for themselves in the agency even though they received inadequate salaries as compared to school districts and institutions of higher education.

This point is illustrated by the following questionnaire responses from a 20 percent random sample of the professional staff in this same agency.

In the Department of Education, how would you rate your chances to use your best abilities, to use judgment, the chance to learn new things in connection with your job, and the chance to do things that are important and useful in the total departmental operations?

Response	Percent of responses
Excellent chance	40
Good chance	36
Some chance	18
Little chance	2
Very little or no chance	2
No response	2

If educational trends in the State Education program continue for the next ten years as they have been going in the past ten years, what are the chances your state public school system will be among the best state public school systems in the country?

Response	Percent of responses
A very good chance	70
A fair chance	20
Some chance but rather remote	8
Very little chance	0
No response	2

In comparison with other jobs in school districts that are comparable in difficulty and responsibility, my salary is:

Response	Percent of responses
Among the best	6
Better than most	12
About the same	28
Not as good as most	52
Much poorer than most	2

Minority Group Employment

In the 21 states visited, it was reported by state education agency administrators that the only groups having job market problems were Negroes and Mexican-Americans. In the judgment of over 97 percent of the staff members who responded to questions regarding fair and equal employment opportunities, the agency did not discriminate on the basis of religion, ethnic background, or national origin. It was commonly stated that:

> The agency has an open-door policy in regard to recruitment; if a minority group member is the best candidate, he is selected.

Staff members, excluding top administrators, also believed, however, that no special efforts were made by the agency to recruit minority group members. Exceptions to this general belief, however, were reported in most states visited. Top administrators and some unit heads said special efforts were made to recruit "some" minority group members but that qualified minority group candidates were unavailable. These administrators, however, were not cognizant of minority group recruitment sources and, as stated in the preceding section of this report, agencies as a standard practice did not advertise vacancies.

Of a 20 percent sample of staff members in ten state education agencies, 58 percent of the professional and 37 percent of the support staff members reported that their agencies had written policies on "equal opportunity." The range of professional responses by state was from 21 percent to 93 percent, and support responses ranged from 8 percent to 50 percent.

In one state education agency, the vigorous recruitment of qualified Negroes and Mexican-Americans, as well as fair promotional practices, had resulted in members of these groups holding top administrative positions. Prior to the search for highly qualified Mexican-Americans and their appointment to the staff, the number of job applicants from this group was minimal. But as a result of vigorous searching and the standard practice of advertising vacancies, this was no longer true. As one professional of Mexican descent said:

> Discrimination by the agency was assumed until they [Mexican-Americans] knew of others on the staff; once qualified Mexican-Americans were sought out and hired, others began applying for jobs without special encouragement.

No instances of recruiting qualifiable minority group members for hard-to-fill positions were found in state education agencies although the practice was encouraged in two of the states visited.

Promotion, Transfer, Separation, and Employee Evaluation

Promotion

When support staff positions above the entry level were to be filled in 26 of the 30 agencies under civil service, current employees and candidates from outside of the agency who passed qualifying examinations were placed on different lists. Preference was given the list of current employees. In three states, all prospective appointees were examined as a group and placed on one list.

In 21 agencies in which the professional staff was under civil service, 16 filled positions above the entry level from civil service lists. Seven of these did not have provision for limiting examinations to current employees.

It was found that those state education agencies that had authority to determine their own selection procedures considered candidates within and outside the agency before filling a position above the entry level.

The majority of administrators in the agencies reviewed said they gave first priority to current employees when appointments above the entry level were to be made. However, a significant number of agency employees, (316 professional and 400 support staff) who responded to the opinion survey disagreed, as indicated in the responses to the following question:

How often do you think it happens that an outsider is employed to fill a vacancy that should have been filled by promoting someone already in the Department?

Response	Percent of responses Professional	Support staff
Very often	4	7
Often	13	16
Occasionally	52	37

Response	Percent of responses Professional	 Support staff
Rarely	24	28
Never	1	8
No response	6	4

Vacancy announcements that effectively inform agency employees of job opportunities within the agency and would make it possible for them to apply for a given position were lacking. This was borne out by responses to this question by the 316 professional and 400 support staff members:

If there is an attractive job opening in some other unit of the agency, what are your chances for hearing about it and being considered for it?

Response	Percent of responses Professional	 Support staff
Excellent chance	11	4
Good chance	28	19
Some chance	31	28
Slight chance	22	31
No chance at all	6	15
No response	3	4

Transfer

In the agencies visited, procedures permitting employees to request a transfer within the agency were not established or were not known to the majority of interviewees. Instances of transfers initiated by unit heads of "problem employees" or of very talented employees were observed or reported in five agencies. Interviewee consensus was that means for employees to request reassignment within the agency should be made available. The rationale most often stated was that employees should have an opportunity to broaden their work experience and that employees should be allowed to change work units when there were personality conflicts.

The majority of clerical and technical employees in two agencies believed that there was a stigma attached to transferring laterally from one unit to another and that employees requesting transfers were singled out as problem cases by supervisors. In another agency, promotions and transfers from one unit to another (the prerogative of unit heads) were discouraged. This practice was reported to be the result of a shortage of existing personnel and a shortage of prospective appointees.

Separation

Interviews designed to elicit candid comments as to why employees were resigning were not usually conducted in the agencies reviewed, although some unit heads occasionally held interviews with employees who were leaving under favorable conditions. The consensus of interviewees was that problems causing turnover should be identified through planned exit interviews.

As indicated in the "Employee Utilization" section of this chapter, it is reported that incompetent employees tend to be retained in the agencies. Separation of incompetent employees or those guilty of misconduct is possible in the agencies, but interviewees in agencies under civil service reported separation procedures to be cumbersome and rigid. Those agencies not under civil service usually have no established separation procedures.

Employee Evaluation

Two of the five participating agencies have a structured employee evaluation plan. Dissatisfaction was frequently expressed concerning evaluation plans, such as "inconsistent administration," "too subjective," and "too negative." However, the majority of interviewees in the agencies with an evaluation plan indicated that any evaluation was better than none. The rationale often expressed for this was that employees need to know how well they are doing on their jobs—required evaluations force supervisors to discuss an employee's work performance with him. Furthermore, the majority of these interviewees reported that performance evaluations do have a positive influence on employee performance.

Employee Utilization

Interviewees in the five participating state education agencies were asked if manpower was being used with maximum effectiveness in their immediate work unit and in the agency as a whole. A total of 63 percent stated that manpower was being used effectively in their work units, but 37 percent stated that it was not; however, 42 percent said that manpower was utilized effectively in the agency as a whole, but 58 percent said it was not. Those interviewees indicating that manpower was being used effectively, however, pointed out impediments to optimum utilization.

A fact most often reported and observed was that state education agencies were understaffed. The most frequent comments made by professional staff members concerning unsatisfactory working conditions and work impediments were (1) excessive overtime; and (2) competent staff members are spread too thin. Although the majority of interviewees suggested increasing the number of employees to remedy the manpower shortage, they indicated that the problem could be alleviated by better use of existing personnel.

One utilization problem stated by interviewees was that incompetent personnel were retained. This was supported by the responses from 316 professional and 400 support staff personnel to a question in the ten-state opinion survey:

Compared with other places you know about or have heard about, how strict is the agency in transferring or getting rid of employees who are unqualified for their work or who "goof off" and do not try to do a good job?

Response	Percent of responses Professional	Support staff
Very strict	2	4
Fairly strict	12	11
About average	35	30
Fairly lenient	29	26
Very lenient	19	25
No response	3	4

Interviewees in each of the five participating agencies reported that incompetent employees were not transferred, discharged, or demoted; instead, they were given less difficult assignments. They said this practice created more work for the competent employees.

Unreasonable internal and external fiscal controls and bureaucratic red tape were frequently described as impediments to employee performance. The problem was so prevalent in one agency that it was stressed by all employees interviewed.

Another common hindrance to performance, according to the majority of professional staff members interviewed, was involvement in subprofessional tasks by professionals. This opinion was supported by the observation that in two-thirds of the agencies reviewed, a classification gap existed between the highest-level clerical and technical classes and the lowest-level professional classes.

Other hindrances frequently identified by interviewees were (1) lack of clarity concerning work responsibilities and working relationships between units; (2) lack of operating freedom to carry out assignments; (3) lack of clarity concerning individual assignments; and (4) lack of communication and coordination between individuals and between segments of the agency.

The use of generalists, as opposed to specialists, was identified as a problem in the majority of agencies visited. Because of the influence of federal-funded programs, which make mandatory the appointment of specialists, there was an increasing emphasis on the design of specialty assignments. Unit assignments, however, cannot be designed merely on the basis of specialties because, although specialists are needed, the nature of the unit's work demands that the specialists also engage in duties outside their specialties.

"Communications"—Predominant Response

"Communications" was the predominant response to the question, "What do you believe is the most critical part of the personnel management program needing improvement in the agency?" The consensus of interviewees in the five participating state education agencies was that procedural information tended to be adequate, but information concerning agency policies, philosophy, goals, and programs was inadequate.

Information concerning the agency was considered inadequate in two respects: (1) it was insufficient for employees to plan effectively their work on the basis of agency goals and policy and to coordinate their work with related units in the agency; and (2) it was insufficient to foster employee identification with the agency as a whole and with its purposes. In one agency the chief state school officer thought the philosophy of top administration and agency goals were known to all employees, but 80 percent of the professional and support staff members interviewed reported that agency goals and philosophy were not understood.

In addition, when asked if the flow of information upward was adequate in the agency, the response of the majority of interviewees was also "no." Ease of communications between an employee and his immediate supervisor was identified as a significant element affecting this response: When a supervisor tends to be unapproachable, his staff members usually say communication is inadequate.

The presence of an "information officer" with responsibility for communications within the agency was identified as one of the most important factors affecting the adequacy of communications in the education agencies visited. For example, the house organ and other publications developed and disseminated by the information officer in one agency were cited as making communications sufficient to meet the needs of employees.

The most thorough communications plan identified was in an agency with approximately 200 staff members. Separate publications were prepared for each audience: agency staff members, school district administrators, teachers, and the public. Staff meetings were designed to meet the needs of individuals and groups. In this agency, each unit has staff meetings periodically, and the chief state school officer meets with his entire staff once a year. The chief state school officer also meets with the professional staff of each division at least once each six months to define program objectives, identify problems, and resolve differences. These meetings were described as face-to-face confrontations during which exchanges were made of information concerning program goals and progress.

Reportedly, formal policies concerning communications had not been developed by the agencies reviewed. There were, however, some regulations concerning such external matters as phone messages and press contacts, and concerning internal matters in such rules as "communications must follow the line of command" and "letters leaving the agency must have the writer's signature and the signature of his immediate supervisor." One professional summed up similar comments heard in five agencies by saying, "Statements regarding communications are disciplinary: when an error is made, a memo is issued saying don't do this, do this."

Organization charts were stressed by interviewees as being an important communications device; yet no example of a chart was found which included the line of command, number of positions, classifications, and unit functions.

Suggestions most frequently made for the improvement of communications were:

- Prepare and distribute procedural manuals.
- Distribute minutes of administrative meetings.
- Establish an agency newsletter.
- Have more face-to-face meetings with the "chief."
- Involve directors in agencywide decisions.

The lack of communications between units was another problem most frequently mentioned by interviewees. Interviewees said poor program information had caused a lack of coordination and a tendency to overlap work areas.

Orientation Program

When the project team visited the state education agencies, no agencywide orientation program for new employees was either observed or reported. The only ones noted were for some individual work units. Handbooks containing rules and regulations and brochures explaining fringe benefits, however, had been given to new staff members in 15 of the 21 agencies reviewed.

Where there was work unit orientation, professional staff members reported that it usually consisted of a general explanation of the new employee's work assignment and the functions of the unit and its relationship to the agency as a whole. This took place at the time of the interview, with a more detailed explanation of it during the first day of work.

Support staff members reported that the "boss" made no attempt to orient them in their jobs or work units, but he assigned them to an "old-timer" for work instructions and general information such as where to eat and where to park. For the most part, satisfaction with work unit orientation differed in degree depending on the oral abilities and thoroughness of the "boss" or "old-timer" doing the orienting. Detailed orientation checksheets were used in a few units to assure that all pertinent job information was explained during the orientation process.

Interviewees were asked: "Do new employees know what is expected of them?" Over one-third of the professional and support staff respondents said, "No." Problems resulting from employees not knowing what was expected of them were stated by interviewees to be (1) frustration and turnover; (2) self-seeking; (3) lack of work coordination; and (4) duplication of effort. What appeared to be the prevalent situation in one division of an agency was expressed by a professional staff member: "A person may be here three months before his job is explained to him—one professional person performed miscellaneous tasks for several months and was slowly taken over by another unit."

The consensus of professional and support staff interviewees was that an agencywide orientation program and unit orientation plans should be established. The subjects most frequently suggested to be included in an agencywide orientation program were (1) employee rules and regulations; (2) organization and structure of the agency; (3) fringe benefits; (4) goals and objectives of the agency; and (5) employee organizations. The majority of respondents believed *work unit* orientation plans should include (1) introducing a new employee to those people he will work with most often; (2) providing a task list of duties and responsibilities to be performed; and (3) explaining the functions of the unit, its relationship with other units, and its work goals.

Employee Development and Training

Employee development programs designed to meet the continuing and special training needs of state education agencies were not found. The review revealed employee interest in such programs, but it revealed little knowledge of what the programs might include or what development activities were available in the state education agency or through the state personnel agency. Two state education agencies, however, were organizing employee development programs. Those agencies were using ESEA, Title V, funds to establish training officer positions and to fund such development activities as sabbatical leaves.

Reportedly, training programs available for agency staff members (such as secretarial skill training and middle management development) usually were provided by state personnel agencies, although some training means (such as conferences) were found to be available within most state education agencies. The consensus of interviewees in the agencies reviewed was that training activities made available by the state personnel agency and the state education agency could not be considered adequate. It was frequently said that participation in state personnel agency training was minimal because it was not encouraged by state education agency administrators.

Training activities for support staff reported in some work units were job rotation, machine training by vendors, specific work instructions, and staff meetings. Training for professional staff members in the work unit usually included special assignments, staff discussion, and, in one agency, visiting speakers with specialized knowledges.

The majority of support staff interviewees stated a need for unit training programs. A frequently made suggestion was the development of a training plan for each position in the unit that could be modified, depending upon the incumbent's capabilities. An often heard comment of professional staff members and unit heads was: "Professional educators are already trained; no further training is necessary." This statement, however, was often qualified with the comment that professionals did need to keep abreast of innovations in their fields.

Both professional and support staff members strongly stressed the need for an agencywide employee development program. Training activities most frequently suggested were:

- Tuition reimbursement for classes or graduate programs at colleges and universities
- Travel to professional association conferences and workshops
- Skills training during work hours, such as technical writing for professionals and secretarial techniques for support staff members
- Sabbatical leaves for professional staff members
- Educational leaves for professionals
- Travel to other state education agencies or educational institutions to observe innovative programs

The most frequently made suggestions for developing or improving employee development programs were:

- Obtain a professional personnel position to be responsible for the establishment of a training program.
- Obtain adequate funds for development and training activities.
- Make known to unit heads and administrators the need for training and the benefits that can be derived from them.

Employer-Employee Relations

There is a growing trend in state government, and to a lesser extent in state education agencies, to formulate policies and procedures concerning relationships with employee organizations and public employee unions. In one case, for example, the state personnel agency had a collective bargaining committee consisting of administrative personnel from operating agencies; in another state, recent legislation permitted employee organizations to bargain with state departments; in a third state, the personnel agency had adopted policies and procedures that permitted employee organizations a voice in state personnel matters. This trend was reported to be a result of increased effort by employee organizations to organize public personnel.

Since statewide employee organizations are influencing state personnel agency decisions, state education agencies under civil service are indirectly affected. Statewide employee organizations, it was reported, usually were supporters of civil service rules and regulations because they were considered essential as protection against capricious management decisions. Generally, this results in detailed rules and procedures pertinent to the appointment, promotion, retention, and separation of state education agency personnel.

Organizations having a direct effect on personnel administration in the state education agency are usually professional associations within the agency. The activities of these organizations differ greatly: from direct involvement in formulating salary recommendations to infrequent presentation of personnel concerns to the chief state school officer. In one agency, however, an employee organization was formed for the purpose of raising salaries through legislative lobbying. In this case, agency administration was bypassed, and the organization was successful in substantially raising the salaries of its membership (vocational school personnel).

Physical Working Conditions

The doubling of state education agency personnel in the past two years has caused a critical lack of office space and was the overriding problem in agency physical working conditions. The majority of professional staff members emphasized the need for relative privacy so they could concentrate on their work. In the support staff, a clerical supervisor summarized the effect of this problem by saying, "The crowded conditions are creating bad habits—too much talking and too little work."

In two agencies visited, clerical and technical personnel were working in hallways; in other instances, walls had been removed and support staff and professional personnel worked in large areas where privacy was achieved only by surrounding a desk with file cabinets. Many agencies had partially resolved the severe space shortage by moving units to other buildings. This decentralization of the agency staff had reportedly resulted in a new problem: the lack of coordination and communication between units and the inability of new employees to identify with the agency as a whole. In the most extreme example, the units of one agency were scattered in four different buildings miles apart.

Interviewees in the five participating agencies were asked to comment on working conditions they believed to be outstanding and on those that needed improvement. Of those that needed improvement, crowded conditions was mentioned by 85 percent of the interviewees. Other items most frequently mentioned were: lack of equipment or the need for modern equipment and employee lounges and lunch rooms. The only outstanding physical working condition frequently reported was the new equipment available to federal-funded programs.

Related to the lack of adequate office space for agency personnel is a safety program. The only evidence of statewide or education agency safety programs observed were slogans on bulletin boards and written disaster evacuation procedures, which were observed in three agencies. In one agency no fire escapes and only one exit in a three-story building constituted an obvious fire hazard. In another agency, telephone and electric outlets were located in the middle of walkways between desks and unit locations.

Incentive Plans and Motivating Factors

The only type of incentive plan found in state education agencies was a merit award program, a plan for paying state employees for money-saving suggestions. Some interviewees, it should be noted, criticized this plan because they believed suggestions should result from a commitment to and an involvement in the work of the agency, rather than from a promise of money.

Reportedly, a salary plan providing periodic salary increases within a salary range was used in the majority of agencies to help retain staff members and to maintain a minimum performance standard. In some agencies periodic salary increases were granted whether or not an employee was performing competently.

The only incentive reported as effective by the majority of agency staff members was informal oral recognition by the immediate supervisor. Although interviewees considered oral recognition the prime motivating factor, oral praise was reported lacking in many units of the agencies reviewed.

Merit salary increases was most often suggested by interviewees as an incentive. There was some ambivalence concerning this since performance evaluations (the basis for determining salary increases) were not considered valid by individuals in each agency reviewed. One agency had provisions for granting merit salary increases in addition to periodic increases. This was practiced, however, for only one year because of dissatisfaction expressed by staff members who did not receive increases.

Incentives most often suggested by interviewees were:

- Maintain higher work standards.
- Provide a means of soliciting and considering ideas for work improvement.
- Provide promotional opportunities for qualified staff members.
- Develop a commendation program.
- Develop special assignments for staff members performing above average.

Interviewees most frequently designated the following factors as being the chief impediments to job satisfaction:

- Lack of information concerning unit goals and problems
- Poor working conditions; e.g., "jammed and cluttered offices"
- Responsibilities not clearly defined; e.g., "No one knows what he should be doing."
- Insufficient delegation of authority
- The performance of nonprofessional work by professional staff members
- Fiscal and personnel controls exercised by other state departments
- Poor supervisory techniques
- Inconsistency of performance standards; i.e., incompetent employees retained and treated the same as competent employees
- Lack of recognition for work performed
- Lack of promotional opportunities

The following question and the responses of 309 professionals and 392 support staff members from ten state education agencies indicate the differences between the two staffs in the factors most likely to motivate them:

What do you believe is most important in your job? (Please rank the top three in order of importance; e.g., 1, 2, 3)

Response	Percent of responses*	
	Professional	Support staff
Chance to use one's abilities	40	26
Chance to do interesting work	25	19
Getting along with co-workers	17	22
Getting along with supervisor	5	11
Steady work and steady wages	3	14
Good chance for promotion	1	4
Retirement benefits	1	3
High wages	2	1
Not having to work too hard	3	1
Other	4	1

* Percents were based upon weighted averages obtained for each of the ten options for professionals and nonprofessionals. Value weights of 3, 2, and 1 were arbitrarily assigned to first choice, second choice, and third choice, respectively.

Position Classification

Classification program adequacy and content varied greatly among the state education agencies visited. For example, one agency had broad classifications, each covering a great variety of professional positions, and the agency had no organized salary plan since classifications were not keyed to specific salary ranges. In another agency, the majority of support staff positions were covered by three "secretary" classifications differing only in the amount of experience and formal education required; thus, the secretary classifications encompassed practically all nonprofessional work in the agency. In addition, a position was allocated to a class on the basis of the incumbent's background rather than the duties to be performed.

Generally, classification plans under a state personnel agency were well developed, providing several classification levels for most occupational groups and a means for distinguishing between occupational groups and individual classifications. It was also reported, however, that classification programs administered by state personnel agencies were slow in responding to needed changes in classifications and specific positions. They also tended to have arbitrary factors (such as the number of positions supervised) for distinguishing between classifications.

The classification programs most responsive to overall agency needs and to changes in specific positions were those administered by the state education agency. The primary problem reported with agency responsibility was the lack of expertise on the part of administrators regarding classification principles and a lack of a professional personnel staff to develop and maintain a classification plan.

The classification plans generally provided for career patterns; i.e., an individual can begin at the entry level and move to the top support staff level or professional level within an occupational group without having to obtain additional formal education. In one agency, however, graduate degrees were required for classifications above the entry level professional classification.

Basic tools for developing and maintaining classification plans were not found in the majority of agencies. Job descriptions were developed when new positions were established, but were not maintained.

The majority of agencies did have class specifications that defined each class, delineated the major duties covered by the class, and indicated the factors distinguishing it from other classes. These specifications, it was often said, were too broad to be meaningful or were out of date. Allocation charts had not been developed—that is, charts that facilitate the allocation of new positions by distinguishing between occupational groups and between specific classifications.

New classifications most frequently said to be needed were specialized classes; e.g., electronic data processing and machine duplicating classes; administrative classes, such as assistant bureau chief and assistant division chief; and specialized clerical and technical classes, such as additional stenographic and secretarial classes and accounting clerk classes. Reportedly, the paramount need was for all positions in the agency to be studied and realigned in terms of classification and salary.

Salary Administration

The 21 state education agencies reviewed varied in salary practices and the adequacy of professional and support staff salaries. Reportedly, salaries for professionals were not sufficient to attract and retain the highly qualified personnel needed to carry out the current and emerging functions of state education agencies. Salaries for the support staff, however, were usually comparable to those in competing organizations.

Professional Salaries

When asked to compare their salaries with those paid positions of comparable difficulty and responsibility in school districts, 316 professional staff members reported their salary to be:

Response	Percent of responses
Among the best	2
Better than most	9
About the same	33
Not as good as most	47
Much poorer than most	7
No response	2

Professional staff members in the five participating state education agencies reported that while school districts that pay higher salaries than the agency were the chief competitors for qualified candidates, colleges and universities, business and industry, and the U.S. Office of Education paid higher salaries than the agency for comparable work.

Unit heads in the 21 agencies reported the following factors as most frequently causing salary problems: (1) the general economy of the state (the political tendency is to maintain state revenue at its present level); (2) the lack of objective methods that would identify what salaries should be established for state education agency personnel; (3) the failure of the salary-setting authority to recognize the need for establishing professional salaries comparable to those paid in school districts and colleges and universities; and (4) the compaction of professional salaries caused by the low salaries paid the chief state school officer. The reasons most often given for low chief state school officer salaries were political influences and the basing of his salary on salaries paid other department heads and the governor.

The salaries of chief state school officers were reported to be low in 20 of the 21 agencies reviewed. In the 50 agencies, chief state school officers' salaries range from $12,000 to $40,000 per year; the average was $20,000. In the majority of states, his salary was lower than the salary paid superintendents of city school districts and below that of salaries paid presidents of universities and colleges.

As an illustration of problems caused by the low salaries paid chief state school officers, the assistant chief state school officers in one agency were paid more than the chief. This occurred because the top salary could not be changed, and the severe professional recruitment problems stemming from low salaries made salary increases mandatory for all those whose salaries could be changed.

Support Staff Salaries

When asked how their salaries compared with those paid comparable positions in the area, 400 support staff members reported through the opinion survey that their salaries were:

Response	Percent of responses
Among the best	4
Better than most	13
About the same	39
Not as good as most	28
Much poorer than most	7
No response	9

Support staff members of the five participating agencies were asked if their salaries compared favorably with those paid comparable positions in other governmental agencies and business and industry. The consensus varied: In one agency under civil service, support staff salaries were believed to be highly competitive; in two agencies not under civil service, salaries were considered generally competitive; in two agencies under civil service, salaries were believed to be exceedingly low. The prevailing comment at these last two agencies, as expressed by one of the unit heads was: "We hire the inexperienced, train them, then lose them to higher paying jobs (outside state government)." The consensus of professionals and unit heads in all but one of the five participating agencies was that salaries were not high enough to attract highly qualified clerical and technical personnel.

Salary Practices

Authority for salary setting and the methods for determining what salary should be paid the professional and support staffs differed greatly among the 21 agencies. At one end of the continuum, salaries were determined and set by authorities outside the agency; at the other end, the state education agency had responsibility for requesting salary funds of the legislature and setting salaries after funds had been appropriated. Salary-setting procedures and practices also differed from agency to agency. Generally, however, objective and continuing methods for determining what salaries should be paid and for ensuring internal salary consistency were lacking.

When asked in the opinion survey how satisfied they were with the department's wage and salary system, 316 professional and 400 support staff members responded:

Response	Percent of responses Professional	Percent of responses Support staff
Completely satisfied	5	10
Generally satisfied	22	31
Fairly satisfied	32	30
Somewhat dissatisfied	34	23
Completely dissatisfied	4	4
No response	3	2

Interviewees in the 21 agencies reviewed indicated that agency salary procedures were unknown to the staff and were inconsistently applied. In support of this, responses to the opinion survey revealed that 316 professional and 400 support staff members believed salaries paid in the agency were inequitable:

In comparison with other jobs in the Department of Education of comparable difficulty and responsibility, my salary is:

Response	Percent of responses Professional	 Support staff
Definitely higher	1	1
Somewhat higher	5	3
About the same	57	55
Somewhat lower	25	27
Definitely lower	11	13
No response	1	1

Fringe Benefits

The consensus of the professional and support staffs was that state education agencies provide adequate fringe benefits. The opinion survey revealed that three out of four professional employees and four out of five support staff members considered employee benefits in their agencies average or better than those in competing organizations. Interviewees in the 21 agencies reviewed agreed and further indicated that fringe benefits were not a significant factor in recruitment and retention.

There is a paradox, however, when the above opinion survey is considered with findings of another study made as part of this project. A survey conducted by the Delaware State Education Agency in all 50 states to compare fringe benefits provided in state education agencies with those in school districts and colleges and universities within each state revealed that fringe benefits provided for agency personnel lagged behind those in the other educational organizations and institutions included in the survey. The survey revealed that:

- The state education agency generally offers fewer insurance benefits to employees than do colleges and universities.
- The state education agency is the lowest in vacation days offered. The average number of vacation days in the education agency is 12.7; the average in school districts is 15.6; in colleges and universities, it is 21.5 for administrators on a 12-month work year.
- The agency is second lowest in average number of holidays per year: 9.4 in school districts, 10.5 for the agencies, 12.2 for 12-month administrators in colleges and universities.
- The number of days per year allowed for employee sick leave (10.9 in the school districts) is 12.3 in the state education agency and 14.2 in colleges and universities.

- Free parking facilities are least likely to be available in state education agencies.
- Among the three employers, state education agencies are the least likely to defray part of the moving expenses of newly recruited personnel.
- State education agencies are the least likely to offer a tax-deferred annuity plan.

Examples of innovative fringe benefits identified in state education agencies were:

- An education leave program that pays 90 percent of the employee's salary, plus expenses, while he is on leave
- An $8,000 life insurance plan for professional staff members and a $3,000 life insurance plan for support staff members at no cost to the employee
- Tax-deferred annuity plans that allow employees to save money through postponing income tax deductions on a portion of their salary until after retirement.
- The payment of retired employees' health insurance premiums and the conversion of sick leave credits accumulated at the time of retirement into health insurance premiums for retirees' dependents
- A long-term disability insurance plan on a group insurance basis, the state contributing 40 cents per $100 of the employee's payroll toward premium costs
- Death benefits under a state retirement system that include both the employee's and the employer's contributions, plus interest

Ideas for improving state education agency fringe benefits suggested by interviewees were: provisions to transfer retirement benefits between agencies or the option to buy retirement benefits when moving between state education agencies or between school districts and the state education agency; the availability of counseling services on insurance and retirement programs.

IV Guidelines

The goal of this project, "Improvement of Personnel Administration in State Education Agencies," will be realized only when the agencies themselves develop and follow personnel policies and procedures based on promising concepts of personnel administration modified to meet an agency's particular organization, functions, and goals.

The guidelines in this report suggest goals for personnel administration and recommend courses of action which can help establish or improve an agency personnel program. Each guideline states its rationale and offers guidance for achieving a component of the total agency personnel program. All of the guidelines, therefore, must be read before the total personnel program recommended can be visualized.

The three basic guidelines are broad concepts that lay the foundation for the most effective administration of personnel in the agency. Other guidelines that follow cover specific aspects of a viable personnel program. The purpose of the recommendations embodied in all guidelines is to establish a flexible personnel program planned and organized to ensure effective practices and objective and equitable treatment of agency personnel. Written procedures and policies are recommended in this report only where they are believed necessary for internal operating consistency and effective communication.

For most state education agencies, the establishment of a personnel program in accord with the guidelines in this report will require additional funds and staff and major changes in state laws and personnel agency regulations. The review of state education agency personnel administration in 21 states, however, revealed that many facets of personnel programs could be established or improved without additional funding and personnel or changes in laws and regulations.

Since the functions, size, fiscal and personnel autonomy, and political independence differ from one state education agency to the next, some of the guidelines likely will not be appropriate for all agencies without modification, nor will all agencies be able to implement them immediately. Because of variations among agencies, the guidelines were written to point the way toward improvement of personnel administration regardless of individual differences.

The guidelines are based on innovative as well as traditional concepts gleaned from a review of recent literature and examination of the personnel practices in state education agencies, business and industry, institutions of higher education, school districts, and public agencies other than those concerned specifically with education. The guidelines were developed with the assistance and advice of persons who are acknowledged experts in the fields of education and personnel administration.

Although the majority of concepts are not totally new, they have been adapted for use in the state education agency and designed to help the agency achieve its goals. The guiding force governing the formulation of each guideline was the desire to offer a state education agency recommendations that, when implemented, will improve and strengthen personnel administration.

Three Basic Guidelines for Responsive and Responsible Personnel Administration

The first three guidelines contain broad key concepts which can condition the effectiveness and entire structure of personnel administration in a state education agency. These concepts are summarized below.

The first, *control of appropriated funds,* recommends that the state education agency have responsibility for funds once they have been appropriated. This guideline is basic since personnel administration of the state education agency is seriously impaired when fiscal controls are exercised by other administrative agencies, commissions, or boards of the state.

The second basic guideline, *planned and organized personnel administration,* deals specifically with the principle upon which the other guidelines of this report are based: the necessity for a planned and organized program approach to personnel administration in the state education agency.

The third basic guideline, *administration of the state education agency personnel program,* recommends that the agency personnel program be administered by the chief state school officer. The means of achieving this are (1) by the state education agency's establishing its own personnel program and placing administrative responsibility for the program with the chief state school officer; or (2) by delegating to the state education agency administrative responsibility for portions of the personnel program in those states where the state personnel agency has this administrative responsibility.

BASIC GUIDELINE

Control of Appropriated Funds

> GUIDING PRINCIPLE: *To establish and maintain the best possible personnel program, the state education agency should be fiscally independent (autonomous) of control by other governmental agencies in the use of its appropriated funds once the agency's budget has been established by the legislature and approved by the governor.*

The state education agency can be hamstrung by impediments which cripple it to the extent that it is virtually impossible for the agency to establish and employ vigorous, innovative, and imaginative personnel practices and programs. One of these impediments, the control of state education agency funds by other state agencies whose representatives may be untrained in educational matters, has two aspects: (1) modification of the state education agency budget request prior to legislative review; and (2) approval or rejection of proposed state education agency expenditures after funds have been appropriated.

It should be recognized by state government and the general public that state education agency administrators must be responsible for the use of funds granted so they can carry out the programs of the agency efficiently. It should also be recognized that agency staff members are normally most qualified and in the best position to make fiscal and personnel decisions necessary to carry out the educational programs as planned. Control of state education agency funds by other departments of government means that educational decisions are made outside the agency and that operational efficiency is hampered.

The primary reason the state education agency should have control over funds appropriated by the legislature is to ensure the flexibility necessary to recruit top-quality personnel. Second, agency staffs are wasting a vast amount of time and energy in carrying out requests from other agencies in regard to expenditures, duplicating expenditure justifications, and following up on expenditure requests and interagency communications. Finally, responsibility for carrying out the agency's approved programs must belong to the educational program administrators.

With agency control of funds, state education agencies would be able to modify salary schedules as needed in order to retain a competitive position. Salaries should be established in accordance with an annual survey, with subsequent intermediate surveys conducted as needed. The implementation of survey findings, however, is dependent upon the availability of sufficient funds to modify the salary schedule at the appropriate time.

Autonomy in using appropriated funds is necessary in order for the state education agency to create new positions as required and to recruit for them. In an agency without authority to transfer and expend funds, the time lag between determining the need for a new position, or the reclassification of one, and implementation may be as long as three years.

To recruit the best candidates, the agency must be able to make an offer of employment at the time candidates are available instead of waiting until appointment requests have been processed by various state agencies. Although appointments above the beginning salary step for a class of positions should be relatively rare, they are sometimes essential to attract outstanding talent. When this is necessary, the agency must be able to make the offer immediately without first obtaining approval from another agency.

Once the state education agency is given freedom to use its funds as needed to carry out programs approved by the legislature or mandated by state law, the man-hours saved as a result will be substantial. This savings would result from eliminating the need to prepare, submit, trace, and rejustify documents requesting approval from other departments on fiscal actions relating to agency personnel management.

In keeping with the principle advocated in this guideline, the necessary check on state education agency expenditures would be made by the legislature through its budgetary review process and through a postaudit system established by the legislature. The state education agency, of course, must maintain adequate internal controls to ensure intelligent fiscal practices and accurate records of actions. Experience indicates that when the agency has fiscal autonomy, administrators show greater tendency to make long-range plans, determine realistic program priorities, and develop clear policies and procedures regarding internal fiscal actions. In other words, the entire responsibility for carrying out the legislatively approved programs of the agency should be placed with the agency administrators rather than divided among various agencies of the state.

It is believed that fiscal independence in the state education agency will result in: (1) a more consistently competitive salary position and responsive recruitment program; (2) the channeling of more staff energy and time into professional and productive activities, rather than needless time-consuming paper processing; and (3) more administrative emphasis on policy implementation, long-range planning, and program decisions.

BASIC GUIDELINE
Planned and Organized Personnel Administration

GUIDING PRINCIPLE: *A systematic program of planned and organized personnel policies, practices, and procedures should be established in the state education agency to ensure effective personnel administration.*

A definite system of personnel policies, practices, and procedures based on sound administrative principles should be established in the state education agency; without a systematic and program approach to personnel administration, disorganization inevitably results. To be effective in carrying out its functions (intelligent and effective leadership, service, and administration), an agency must have a well-designed program for selecting, developing, utilizing, retaining, and paying staff members.

Functional approach. A personnel program utilizing the most objective measures of fitness and competence possible in appointing, retaining, and promoting employees is advocated since it provides established means for identifying and selecting the most highly qualified candidates available. A planned and organized approach to personnel administration also makes possible high morale through the establishment and maintenance of clear, well-known policies and procedures assuring objective and equitable treatment of all staff members. Significantly, a systematized personnel program, with written policies as a foundation, can and frequently does protect agency personnel administration from political and other undesirable influences.

Principal activities. The principal activities comprising the initial core of the organized and planned overall personnel program are:

- A staff procurement program which provides fair and objective means for evaluating candidates and selecting the best-qualified person for a given job
- A performance evaluation program which provides a consistent method, and the most objective one possible, for determining which staff members should be retained, given pay step increases, or promoted
- A classification program which provides consistent and objective techniques for distinguishing levels and kinds of work and which results in an equitable salary structure
- A salary program which provides objective and equitable means for determining and establishing salaries and incentives
- Appeal procedures which provide aggrieved employees of the state agency the opportunity to air complaints and have unjust actions rectified

Other segments of a viable state education agency personnel program are dependent upon the foregoing five activities. Successful training and personnel development functions, for instance, are dependent on appropriate position classification and performance evaluation programs; effective utilization of manpower is dependent on well-developed staff procurement procedures and a well-defined but flexible classification plan.

Alternatives. A personnel program, as defined, could be established and administered by a state education agency or by a central state personnel agency for all departments under its control, one of which might be the state education agency. The basic guideline that follows deals with these alternatives. It is clear that a state education agency personnel system should be established and administered by the agency itself for it to be most effective; however, current laws and political situations in some states make it undesirable to free the state education agency entirely from state personnel agency control.

BASIC GUIDELINE
Administration of the State Education Agency Personnel Program

> GUIDING PRINCIPLE: *A comprehensive personnel management program should be established in the state education agency, and responsibility for its administration should be vested in the chief state school officer either through (A) independent agency personnel administration; or (B) delegation of administrative authority by the state personnel agency.*

Responsibility for establishing and administering a state education agency personnel program should be placed with the chief state school officer. Education agency administrators can make the best personnel management decisions based on an understanding of the agency and its goals and with advice of a professional personnel staff. Also, a personnel program administered for and by the agency can be most responsive in regard to accommodating agency peculiarities, meeting changing needs, and providing expeditious action.

A personnel system administered centrally by a state personnel agency is not sufficiently responsive to the needs of the education agency for the following reasons:

- Personnel policies and procedures usually are geared to the factors common to the majority of state agencies under central control and do not take into consideration individual differences.
- Typically, the staff is too small and the turnover too great for state personnel analysts to develop an essential understanding of the operations and personnel needs of the education agency.
- Policies and procedures are too well-established and lines of authority and communication too long to be responsive to individual problems and emergencies; e.g., the frequent need to recruit a specialist within a short period of time.

Agency administrators who have a more profound understanding of and a more intimate concern with the agency's work requirements, program goals, and organizational relationships than state personnel agency administrators are in the best position to make decisions that will meet the immediate personnel needs of the agency and related long-range educational objectives. When such determinations are made by individuals in outside agencies, the authority for making educational program decisions is taken from educators and placed in the hands of persons often unqualified to make educational decisions. Another negative factor is the time-consuming paper-work requirements placed on the agency by control-oriented outside agencies.

State education agency administrators have made continued efforts to have state personnel agency administrators modify centralized systems to meet the needs of their agencies. In most instances, however, these efforts have not borne results sufficient to meet even such basic personnel needs as establishment of fringe benefits meaningful to educators (sabbatical leaves, tax-deferred annuities, and so forth) or formulation of salary-setting procedures based on comparisons with outside competitive agencies. It is essential, therefore, that the personnel program of an agency be established and administered by it.

Independent administration. A state education agency personnel program established within the agency is the most feasible means of assuring responsive and responsible personnel management. Certainly, educators chosen to administer the state system of education can responsibly establish and carry out a personnel program to meet the needs of the agency.

It is imperative, however, that the personnel program of an agency be established and carried out in accordance with administrative principles that obviate political influence in personnel actions. Recommendations embodied in the guidelines of this document—ones which advocate the most objective measures possible as the basis for personnel decisions and encourage strong guiding policies as a foundation—comprise a sound system and provide for its safeguards. The integrity of a system, however, is dependent upon the integrity of its design and its administrators.

The integrity of a state education agency personnel program can be maintained by the chief state school officer and a professional personnel staff. Maintenance of the system, however, should be insured through placing procedures and guides for personnel action in written form and periodically reviewing past actions in light of objective policies. Also, provision must be made for impartial hearings and decisions regarding employer-employee issues and disciplinary appeals that cannot be resolved through internal procedures. An impartial body, free of agency and political influences, should be designated to adjudicate issues and appeals, assuring that unjust actions will be rectified and that employer-employee impasses will be resolved.

Delegation of administrative authority. In states where it is impossible to establish an independent personnel program within the state education agency, the state personnel agency should delegate sufficient administrative authority to the education agency for it to develop and administer an effective personnel program.

Briefly stated, the administrators of a state education agency in a civil service setting must have sufficient management discretion and adequate flexibility in personnel administration to strengthen the agency's personnel program, to discharge their responsibilities, and to achieve the educational objectives of the agency. The state personnel agency can still meet its obligation of control over state personnel by reviewing personnel actions through a system of post-audits.

Illustrative areas of personnel administration which should be delegated to the state education agency follow:

- Authority to establish salary levels and authorization (within appropriated funds) to offer salaries sufficiently high to attract and retain professional personnel required for agency programs. This authority would include responsibility for establishing an objective salary-setting method, which includes a survey of salaries paid to persons employed in similar positions in competitive organizations.
- Authority to establish and administer recruitment and screening procedures which take into consideration the availability and sources of the best-qualified candidates and which are programmed to meet the agency's need for specialized and professional personnel.
- Responsibility for allocating and reclassifying positions within a classification system geared to the needs of the agency and approved by the state personnel agency.
- Development of performance evaluation systems geared to improving employee work performance and determining the promotability and retention of employees.
- Establishment and administration of an agency employee development program.

The intent of the delegations recommended in this basic guideline is to provide a more effective and viable state education agency. Agency administrators need the best tools that can be devised to fulfill their responsibility. Delegated authority for personnel management is certainly a major component in the accomplishment of this responsibility.

Personnel Management Guidelines

As distinguished from the three basic guidelines, each of the following guidelines deals with a specific aspect of personnel administration and taken together should enable the agency to establish a personnel program that will ensure effective practices and equitable treatment of agency personnel. These personnel management guidelines are independent of the three basic guidelines discussed earlier in this chapter and are applicable to an agency whether or not it has fiscal and personnel independence.

GUIDELINE

Personnel Director

GUIDING PRINCIPLE: *The manpower needs of the state education agency, as well as the need for the wisest and the best use of its professional and support staffs, make it imperative that the agency have a personnel director.*

The personnel director in the agency is a member of the administrative team, the expert on personnel administration and management. He should serve as the consultant to the chief state school officer and line officers concerning the personnel actions and manpower needs of the agency. In meeting his responsibilities, the personnel director provides leadership for the overall personnel program, is directly responsible for centralized aspects of the program, and is involved in the policy-making process as the expert on personnel motivation and reaction.

The place of the personnel director. The personnel director's advice, appraisals, and recommendations concerning personnel administration should be made directly to the chief state school officer since the success of the agency depends upon personnel. When and if, however, the chief state school officer's responsibilities make him inaccessible, he should have the personnel director report to him through his chief deputy. Otherwise, agency personnel administration will be ineffective and confused and will cause frustration.

Since the administrator to whom the personnel director reports will determine administrative priorities and overall personnel program decisions, he must be versed in all aspects of administration and be at a high enough level in the agency to make immediate and long-range decisions.

Leadership responsibilities. It should be the personnel director's role to bring to the policy makers and policy-making team the concept of a modern and effective system of personnel administration and its effect on the activities and educational programs of the agency. In performing his duties, he will advise, counsel, and consult with the chief state school officer and line officers in the formulation and implementation of new and revised policies. This requires a high ability to assess and conceptualize the problems facing the organization.

Since the adoption of the personnel management program and its implementation are the primary responsibilities of the line organization, the personnel director should provide leadership by clarifying for those in the line organization their roles in personnel administration, by helping them evaluate their own effectiveness, and by assisting them to implement personnel programs and develop their personnel management skills. In maintaining close liaison with line officers, he will cooperate with each to devise effective means for resolving the personnel problems of the agency. He will make a strenuous effort to stimulate cooperative planning and follow-through by promoting an imaginative and creative concept of personnel administration within the agency.

The chief state school officer should delegate the authority and assure sufficient administrative support to enable the personnel director to carry out his responsibilities. As part of his relationship with top administration and line officers, the personnel director encourages new methods and arrangements in the agency for the effective handling of its personnel needs and problems.

Administrative responsibilities. The personnel director should have authority over and be directly responsible for those aspects of the personnel program such as recruitment, orientation, personnel development, salary administration, and position classification that, to be effective, must be administered centrally by a professional personnel expert with a qualified staff. He is a specialist who must formulate and recommend effective policies to the chief state school officer, who, in turn, should support the personnel director in the implementation of adopted policies.

As the expert on personnel, the personnel director must advise and make suggestions to the chief state school officer concerning employee motivation, incentives, and factors affecting morale. In keeping with this responsibility, he should recommend standards and policies governing such matters as staff utilization, performance evaluation, inservice training, promotions, transfers, working conditions, fringe benefits, and channels of communication.

Philosophy of personnel administration. Effective administration requires that the personnel director develop, accept, adhere to, and be guided by a sound, pragmatic philosophy of personnel administration that will create a favorable atmosphere and climate in the agency, give tone to all units of the agency, and stimulate pride and a sense of responsibility, dedication, and devotion in the professional and support staffs. The professional personnel administrator who is guided by such a philosophy, who is sensitive to the ebb and flow of morale, who has the ability to do things and get things done, and who listens, observes, and exercises patience will bring prestige to the agency and go far toward realizing the ultimate aim of personnel administration: to get the right person with the right frame of mind in the right job at the right time and with the right pay.

GUIDELINE

Personnel Policies

> GUIDING PRINCIPLE: *The state education agency should develop written personnel policies and make these known to all staff members.*

It has been found that personnel programs are strengthened and their effectiveness increased in an agency having written personnel policies. It has also been found that many potential grievances can be eliminated if all the facts of agency policy are known and understood by the parties concerned.

By definition, a policy is a guide for management leading to procedure and defining alternate courses of action. The personnel policies of the agency should be developed cooperatively by management in consultation with the professional and support staffs and finally approved by the chief state school officer. After being approved, they should be published and made available to employees.

Periodic policy review. Personnel policies should be reviewed periodically, and suggestions, comments, and opinions regarding the policies should be sought from professional and support staff employees. Line officers, especially, should be solicited for suggestions for improvements in existing policies and for the need of new policies. The review should also be used to determine how, and to what extent, the policies are being used, to evaluate the effectiveness of the policies as guides to wise and independent action, and to determine their impact on the morale of the agency. The policies should:

- Set forth clearly the objectives of personnel programs.
- Fix responsibility for carrying out functions of personnel management.
- Fix responsibility and indicate means for carrying out the procedures and practices of the personnel program.
- Provide for and fix authority compatible with the rules and regulations of the state board of education and of applicable state laws under which action is taken.
- Facilitate decisions and actions consonant with the functions of the agency and with its philosophy.
- Be written, when appropriate, in terms of long-range objectives and plans for change.

Nature of policy. To be effective, a personnel policy should be a written, agreed-upon statement of directions for action; it should be definite enough to be a guide, yet flexible enough to permit adjustments dictated by good judgment. Written policy statements, adopted after careful consideration by all groups concerned, will promote understanding and help maintain wholesome and cooperative relationships within the agency. Constant use, revision, and evaluation of written policies will make them of increasing and continued value. Personnel policies are more favorably accepted and followed when they have been formulated cooperatively.

GUIDELINE
Staffing Projections

GUIDING PRINCIPLE: *In order to identify and plan for the volume and kinds of manpower needed in the future, the state education agency should develop its processes for making staffing projections.*

The effectiveness of state educational programs in the decades ahead will depend upon the degree of success the state education agency achieves in recruiting, developing, and motivating persons to fill the ranks of professional and support staffs. This problem—that of finding, recruiting, developing, and motivating the men and women who will run the agency—should not be left to happenstance. Meaningful projection of personnel needs is the difference between intelligently planned staff procurement and inefficient, haphazard, hand-to-mouth personnel selection.

Basis for staffing projections. Projection of staff needs must be made as a part of the total planning process of the agency. Such projections should tie in with the agency's long-range plans and goals and must be consistent with the agency's philosophy and operations. The effect on agency personnel needs of the planning and growth of other governmental agencies closely related to education, which may give strength, scope, and added depth to the state education agency's program, must also be considered.

A framework for projecting staffing needs is primarily concerned with forecasting the number, kind, location, and quality of the manpower the agency will need, evaluating the sources of manpower available to the agency, and planning for the development of current employees and the procurement of new staff members.

When projecting staffing needs, the agency should consider anticipated retirements based on age profiles and estimates of the kinds of vacancies that will occur. For the purpose of work continuity, this is particularly important when the person retiring occupies a key position. Once vacancies are anticipated, employees can be identified who are ready for promotion or who, with special training or development, can be ready. The need for staffing projections is clearly indicated by studies which emphasize that industry and government will experience an acute shortage of qualified individuals for middle management positions in the decade ahead.

Staffing projections should involve a continuing study of turnover data in each unit of the agency, as well as of position classification throughout the entire agency. As a basis for anticipating future staffing requirements, it is of prime importance that the anticipated need for management positions be forecast into the future for as much as five years.

Long-range staffing projections. Long-range projections permit sufficient time to plan adequately for recruiting and screening candidates before vacancies occur. With effective forecasting, agency programs do not mark time while recruitment is carried out. Without long-range predictions of personnel needs, the staff procurement program is constantly confronted with emergency demands to provide candidates, which results in inadequate recruitment and screening. Without a planned, coordinated, and efficient staff procurement program, recruitment and screening will likely become a patchwork of selection methods, developed hurriedly in order to find replacements after vacancies occur.

A coordinated plan for projecting future personnel needs in the agency is the foundation on which long-range recruitment and selection programs are based and on which management development programs can be planned. Projection of staffing needs followed by planning helps ensure that well-qualified replacements will be available when needed. State education agencies should develop staffing projections and recruit on the basis of providing staff for tomorrow's missions, as well as that of providing adequate and appropriate staff for today's missions.

GUIDELINE
Design of Work Assignments and Employee Utilization

GUIDING PRINCIPLE: *Utilization of employees within the state education agency should be planned to assure that the overall objectives of the agency will be accomplished, that each employee makes a positive contribution, and that work assignments are designed to make full use of talents available.*

If employee utilization is planned in accordance with agency goals and if the work assigned is suited to the individual doing the work, the quality of service in the agency will be heightened, and the employee will feel a sense of pride in his accomplishments. Excellence in performance and employee satisfaction are more nearly possible in a situation where the employee can work at maximum efficiency in an assignment that is contributing to the objectives of the agency.

There are two basic concepts in the development of work assignments and employee utilization. The first is that work assignments should be designed to meet, through the best use of available talent, recognizable goals and objectives. Philip Selznick in *Leadership in Administration* emphasizes the importance of goal setting in turning an organization into an effective, cooperative, vital institution. The second concept is to merge the interests and goals of personnel with the work requirements of the agency. Chris Argyris makes the point in his book *Personality and Organization* that a problem in most organizations is that the employee is unable to fuse his own hopes, ambitions, and desires with those of the organization. Top administrators and unit heads can best carry out their responsibilities for utilizing personnel effectively by making every effort to design work assignments around strengths and interests of the employee and by providing him with opportunities to develop his potential and to satisfy his interests.

Utilizing personnel. State education agencies are universally handicapped by manpower shortage, insufficient top-quality personnel, and inadequate utilization of talent available. Ways and means to improve the quality of personnel are pointed out in other guidelines in this document. A state education agency, however handicapped by insufficient top-quality personnel, can better utilize its current employees and available talent. Practical ways in which the agency can approach optimum utilization are:

- Establish a *personnel inventory* of the skills, experience, and talents of all employees in the agency. Through the compilation of biographical information as to education, work experience, and special skills of agency staff, data processing techniques can be utilized to identify personnel for special assignments and hard-to-fill positions.
- Establish a *career development plan* to assure maximum utilization of employee potential. The development of an employee's strengths and the utilization of his potential can be achieved

through a planned program of job rotation, transfer, and training activities.

- *Reemploy retired personnel* possessing needed skills and knowledges on a temporary basis for hard-to-fill positions. With the growing difficulty in securing employees who have specialized skills and knowledges, it is imperative that all possible sources of manpower be tapped to meet agency needs. The temporary use of retired personnel will not affect the career development of younger employees nor will it take away jobs from people in the agency. Its justification lies in the inability to employ persons with specialized skills.
- Establish *midcareer training* as a continuing agency function to meet changing job requirements. The accelerating pace of scientific and technological knowledge, plus the revolution in computer information retrieval systems, has created the need to provide midcareer training of agency employees.
- *Redesign assignments* to separate nonprofessional from professional assignments and also to separate the more routine tasks from the higher-level technical and clerical ones.
- With cooperating colleges and universities, establish *internship, "associate," programs* designed to gain an untapped source of talent and to profit from the qualities graduate students can bring to their work: recency of training and a fresh outlook on educational problems.
- Use *time-saving devices and techniques*, such as the following:

  Closed-circuit and educational television to expedite training and communications and to save travel time. Recent experiments with television and telephone hookups have proven effective for conferences and meetings.

  Ad hoc committees to resolve agency problems. This problem-solving approach, which utilizes specialists who have diverse professional skills and who are temporarily drawn together from various segments of the organization, will facilitate the accomplishment of agency goals.

  Educational consultants and experts retained on a temporary basis for special projects. This approach provides the agency with supplementary professional expertise and advice without removing regular staff members from their primary assignments.

  Educational leaders and specialists brought to the agency to conduct seminars and professional conferences especially designed to meet agency needs. This has the added advantage of making such training available to greater numbers of staff members.

Management consultants retained to conduct studies and develop basic plans in such areas as position classification, workflow and procedure, and salary administration. Management specialists can assure an objective approach to technical management problems.

The agency should review the work loads of its employees and put an end to nonessential and less promising activities, while at the same time diverting energy, attention, and interests of its employees to innovative and more promising activities. Proper utilization of personnel is an ever-present problem, and its solution should be sought continuously. This is the job and the responsibility of management.

GUIDELINE
Staff Procurement

GUIDING PRINCIPLE: *The state education agency should recruit personnel from the broadest possible market and should base selection on a competitive process that identifies the best qualified candidates for positions to be filled.*

Much has been said about the need for leadership by state education agencies to meet educational challenges. The success or failure of the education agency to assume adequately a leadership role rests on its ability to appoint the most highly qualified personnel available. The agency must search until it finds, attracts, selects, and appoints highly qualified personnel.

Recruitment base. Traditional sources of manpower will prove increasingly inadequate to meet the demands of the state education agency. New sources of manpower and means of tapping them must be developed. This means that a candidate should be selected from among qualified persons both in and out of the educational field and from persons within and outside the state. Limiting selection to state resources severely limits the field of candidates and may lower the quality of employees appointed. Recruitment should be conducted on the broadest feasible geographic base through advertisement of vacancies to increase the number of qualified candidates from which the agency may select.

While new means for recruiting and attracting qualified candidates from diverse sources are necessary, talent within the agency should not be overlooked. Current employees who are immediately promotable or who will be after training should be identified and included in the field of candidates for a given position. The agency should include long-range planned development of present employees as one aspect of staff procurement. Since stiff competition for skilled personnel (especially in technical areas) will continue, the agency should maintain a training program designed to provide opportunity for its own personnel to acquire the knowledge and skills needed to work in such areas.

Qualifications. Determining what the desirable qualifications will be for newly established or vacant positions is the first step in the selection process. Rather than rigid minimum qualifications that severely limit the field of applicants, qualifications should be broad enough to attract anyone with sufficient experience to perform competently the duties and responsibilities of the vacant position. Unrealistic recruitment and selection standards that are too inflexible to meet changing recruitment conditions may create an artificial shortage of candidates. When a shortage of candidates exists, however, consideration must be given to leaving a position vacant or reclassifying the postion downward rather than lowering the standards for selection below an acceptable level. Such minimum qualifications as residence requirements, veteran's preference, and ethnic quotas that may preclude candidates with the abilities to perform the job should be rejected.

Selection. Performance tests and written examinations are essential in the appraisal of candidates for positions in which job skills or specific knowledges are the major ingredients in work performance. For most positions, oral examinations are also essential to appraise human relations skills and other abilities that cannot be evaluated easily through written materials. For some professional and administrative positions, an oral examination is the only testing tool needed if technical knowledge because of past experience and education can be assumed and when certain attitudes and leadership skills are of first importance for the position. Reviewing the past performance of candidates by contacting their former supervisors is a selection procedure that should be utilized in all instances.

In the selection of personnel, it is important that the characteristic behavior of applicants be determined and related to responsibilities of assignments. Studies in private industry reveal that certain personal characteristics are predictors of success for most supervisory and professional positions. These characteristics are intelligence, maturity, human relations skills, integrity, analytical abilities, communication skills, temperament, and health.

GUIDELINE

Fair and Equal Employment Opportunities

> GUIDING PRINCIPLE: *The leadership, strength, effectiveness, achievements, and influence of the state education agency call for personnel in professional and support staffs to be selected, appointed, assigned, and promoted on the basis of competency, qualifications, fitness for the job, and promise of future growth and development regardless of age, sex, religion, political party, veteran's status, national origin, or ethnic background.*

In regard to fair and equal employment opportunities, this report takes the position that the staff of the state education agency be selected, appointed, assigned, evaluated, and promoted solely on the basis of competency, qualifications, and fitness for the job. Selection procedures should be aimed at identifying the most highly qualified personnel available. When this principle is observed and followed, fair and equal employment opportunities will not be a problem.

The United States is no place for discrimination based on religion, national origin, ethnic background, or other factors not related to job performance. The state education agency should practice this basic concept of our free society and oppose discrimination and discriminatory practices. As a matter of policy, an agency should continuously support the spirit and purpose of fair and equal employment opportunities. To ensure strict adherence to this principle, the agency should adopt and enforce standards and procedures to prevent any discrimination based on religion, national origin or ethnic background, or on inappropriate requirements based on age, sex, political party, or veteran's status.

An approach. One approach to this would be for the agency to formulate and broadly publicize policies which make clear its determination to adhere strictly to fair and equal employment practices. Broad dissemination of examination announcements and position vacancies should be made. Included in the mailing lists should be school districts, educational associations, and clubs and organizations of various ethnic groups. Selection procedures should be published widely; if necessary, advertising space should be purchased in various media, including minority group newspapers, to make the agency's selection procedures well known. Contacts with minority group clubs and associations should be developed so that the people belonging to these organizations can be kept well informed regarding job opportunities and selection policies and procedures.

Examples of minority group sources to include in recruitment procedures when seeking top talent follow:

- Colleges and universities with strong graduate programs in education which enroll students of various national origins and ethnic backgrounds
- Colleges and universities with predominantly Negro enrollments and strong graduate divisions (See Appendix B.)
- National Urban League, 55 East 52nd Street, New York 10022
- GRAD (Graduate Résumé Accumulation and Distribution), College Placement Council, Inc., 65 East Elizabeth Avenue, Bethlehem, Pennsylvania 18018
- California Association of Educators of Mexican Descent, P.O. Box 33344, Los Angeles, California

Social and economic changes. Unprecedented migration and other social and economic changes, especially rapid during and since World War II, have altered the composition of the population in cities, suburbs, and rural areas. These changes have set the scene for the development of new opportunities, relationships, and education for members of various racial and ethnic groups. Today, people in minority groups are determined to overcome their handicaps, and employment plays a vital and major role in helping these people in their struggle.

A measure of leadership. The state education agency is being called upon to exert leadership in increasing degrees and in new and wider functions. The agency's ability to provide imaginative, dynamic, and creative leadership to meet increasing responsibilities will be a direct measure of its capacity to recruit, select, assign, train, develop, evaluate, promote, and retain the most competent and best-qualified personnel.

No promising source of quality personnel should be overlooked, nor should practices be tolerated that limit the field of qualified candidates. A state education agency, above all, must adhere to legal, moral, and ethical principles in developing personnel policies that eliminate discriminatory or unfair employment practices based on age, sex, religion, political party, veteran's status, national origin, or ethnic background. If the employing agency discriminates in its employment practices on such bases, a host of talent will be lost to the agency when it may be experiencing its greatest need for the best-qualified personnel available. If the state education agency is to narrow the gap between the supply and demand for top talent, stronger and more effective personnel policies designed for the acquisition and use of this talent must be developed. In this process every source of talent must be identified and utilized.

GUIDELINE
Probationary Period and Final Appointment

> GUIDING PRINCIPLE: *A probationary period long enough to determine an employee's competence should be required before final appointment is granted.*

A probationary period should be the final step in the selection and appointment process for employees; i.e., the initial appointment of the best candidate available for a position should be temporary until he has proven his competence to function effectively in the agency. The probationary period provides the agency with an opportunity to verify a candidate's seeming potential to utilize his knowledge and skills in a position and to contribute to the team effort of the agency before he becomes a permanent employee. Top administrators are not covered by probationary procedures since they should serve at the discretion of the chief state school officer.

The demands of a state education agency for the best possible staff should be the guiding force in establishing probationary periods and evaluation procedures that provide effective means of retaining only those employees who perform adequately. The following features can be of great help in achieving this end:

- Determine the length of the probationary period on the basis of the time needed to evaluate realistically an incumbent. The probationary period could vary from six months for an entry level clerical position to two or more years for a professional position.
- Require periodic evaluations of a probationer's work.
- Make every effort to assist a probationer in developing the skills and attaining the knowledge found to be lacking prior to a final decision regarding permanent appointment.
- Make provisions for extending the probationary period in individual cases when more of the probationer's work is needed to have a sound evaluation of his performance.
- Base separation of probationers from the agency on performance evaluations made as objectively as possible.
- As a protection against discriminatory actions, allow probationers recourse to an informal review of decisions by administrators.

It is believed that consistent application of the concept that probation is the final step in the selection process will remedy, to a great extent, the morale-shattering problems of retaining or dismissing incompetents who have the relative security inherent in final appointment.

GUIDELINE

The Position Classification Program

GUIDING PRINCIPLE: *A position classification program encompassing professional and support staff positions, which is responsive to change and provides a basic and dynamic framework for staff recruitment, pay, development, and utilization, should be established in the state education agency.*

Position classification, the systematic grouping of positions on the basis of like duties and responsibilities, should be utilized to facilitate the staff procurement and pay programs of the agency and to provide administrators and supervisors with job information basic to effective development and utilization of employees.

A classification program, which encompasses a specific classification plan and the procedures for establishing and maintaining it, is the backbone of a personnel program. In his book, *Public Personnel Administration,* Felix A. Nigro states: "The need for and advantages of a classification plan are apparent. Pure anarchy prevails when no attempt is made to group positions together, for in such a case each individual job must be treated separately." The placement of like positions in the same class for which the same minimum qualifications can be required and the same salary paid is the first step toward assuring equal pay for equal work and an administratively feasible staff procurement program.

Development of a well-delineated and definitive classification plan can provide unit heads and administrators with a ready reference to the nature and level of all jobs in the agency. In addition to laying the foundation for procurement and salary administration, the classification plan provides a source of job information which can be used to identify and plan basic training needs and to attain near optimum utilization of employees.

A well-organized classification program meets the following staff needs which are fundamental to developing a high level of morale and effective employee management in the agency. The staff member needs (1) to understand clearly the duties he is to perform and the responsibilities he is to discharge; (2) to be assigned only duties and responsibilities he has the aptitude and qualifications to perform; (3) to receive recognition by reclassification to a higher level for the assignment or assumption of more difficult duties and responsibilities; and (4) to advance, or envision advancement, on a clearly delineated career ladder.

Essential program elements. An essential element of personnel administration in general, and position classification in particular, is a means of immediately obtaining a general picture of the duties and responsibilities assigned to positions in the agency and the relationship of work in regard to its level and kind. This requires methods of determining the classification of all positions, their placement in the organization, the core duties and responsibilities encompassed by each class, and the relationship of each class to others in the same occupational group.

The second necessary element for a classification program is responsiveness to change; that is, flexibility to reclassify positions (either upward, downward, or laterally from one occupational group to another) and to establish new classifications as a result of program changes; e.g., the use of new areas of technology or the regrouping of duties and responsibilities to better achieve the agency's program objectives.

A third element is a personnel staff trained in the objective and systematic techniques of position classification and immediately responsive to the needs of unit heads.

A fourth element is a classification plan which meets the needs of the agency; i.e., provides an adequate career ladder and includes enough general and specialized classifications to allow effective utilization of employees.

A fifth element is an understanding by unit heads and administrators of classification program principles and concepts and how these contribute to accomplishing agency objectives and an understanding by all staff members of classification program procedures and policies.

Basic classification tools. A job description of each position in the agency should be developed and kept up-to-date as a means of expediting needed classification studies. Job descriptions also serve as a base for revising assignments and developing performance standards and for assisting recruiters in explaining a job assignment to candidates and determining minimum qualifications required.

Definitive *class specifications* for each class should be published and copies made available to anyone desiring them. The specifications should make clear the core duties and responsibilities distinguishing the classification from other classes and, in general, the minimum qualifications required for positions in the class.

A *levels chart* which succinctly differentiates between occupational groups and levels of classifications within a group on the basis of distinguishing job factors should be developed and maintained. This facilitates allocating new positions and determining the need for classification studies since the primary differences between classes can be seen readily.

Plan development. A classification plan should be developed by analyzing the kinds of work the agency must perform, rather than how work is now assigned and who is performing it. Plan development must stress the kinds of work in the agency and how to distinguish different levels of the same kind of work in order for classifications to be significant. With this approach, proper emphasis can be placed on career ladders; and general and specialized classes, which should be built into the plan, can be determined. Once classifications are established, current positions can be classified on the basis of the duties and responsibilities actually being performed.

Personnel utilization can be studied at the same time job information is analyzed. Findings can then be considered in the development of classes. Conducting utilization and classification studies simultaneously should help to emphasize what duties can be combined for the most effective operation of programs, eliminating the tendencies to make assignments only on the basis of classifications available or to develop new classes only on the basis of duties currently performed.

The agency should retain personnel consultants to develop a classification plan and a permanent professional personnel staff to maintain it. Consultants with the time, objectivity, and technical knowledge to identify classification alternatives can be of great assistance in developing a plan. The effectiveness of a classification program, however, is dependent upon a chief state school officer who realizes the value and necessity of a sound classification plan and program and upon a personnel director who applies modern classification principles and methods in maintaining the plan and carrying out the program.

The incumbent's effect on classification. The creative skill and initiative of an incumbent can have the effect of raising or lowering the level of duties and responsibilities of some kinds of positions to the extent that a different classification level becomes appropriate. The level of a position can vary because of the everchanging relationship with other positions, the supervisor's willingness to delegate responsibility, and the incumbent's capability and initiative.

The classification plan should provide more than one classification level for positions with duties and responsibilities subject to significant change. The range of levels possible in some kinds of work, such as administrative assistant and secretarial assignments, exemplifies how more than one classification level might be appropriate.

Classification flexibility also would permit appointment of a qualifiable person to a position when fully qualified personnel are unavailable. This can be accomplished by utilizing a classification at a lower level than that appropriate for the assignment. Temporary reclassification downward should take place when the desired candidate does not meet experience requirements for a given classification or who needs intensive training in the skills required for the position before he can function at the appropriate level. After an employee has demonstrated his adequacy and has met the minimum qualifications for the higher classification, his position can be reclassified to its original level.

This practice allows the appointment of qualifiable employees without making exception to established minimum qualifications or changing work standards which would disrupt the morale of qualified employees performing adequately.

"Rank in the man" classification for special groups of positions. State education agencies employ experts and individuals with highly specialized skills on short-term contracts when their talents are needed. As the agency grows and exerts a stronger leadership role, specialized assignments requiring a high level of expertise will likely become a continuing need. For these positions, classification primarily on the basis of duties and responsibilities results in narrow classifications which tend to be too restrictive and rigid for the assignments as well as stultifying to the incumbents. Groups of positions in the agency requiring highly expert and, possibly, prestigious incumbents should be classified and paid on the basis of the incumbents' qualifications, their eminence in a field, and their professional contributions. Recognition of creative assignments and reclassification on the basis of contributions will tend to encourage further creativity and contributions.

Nonsupervisory professional classifications. To recognize and encourage contributions of specialists in essentially nonsupervisory positions, the agency should establish dual career ladders, one for supervisory and one for nonsupervisory personnel. Unit heads, assistant unit heads, and other supervisory personnel are usually recognized and rewarded for their management responsibilities through classification and pay. Within the agency, however, there may be employees whose specialized assignments are as vital to the agency program and are at as high a level of difficulty as the assignments of unit heads and administrators who have responsibilities for large groups of employees. It is conceivable, then, that a specialist could receive a salary equivalent to the salary of his supervisor when the supervisor does not actually exercise technical supervision over the specialist.

Additional specialized clerical classifications. The significant gap between the highest-level clerical classifications and the lowest-level professional classifications that are common to state education agencies indicates the need to establish clerical classes at levels sufficiently high to encompass subprofessional work now performed by professionals. The agency should establish classifications which bridge the gap between the clerical classes and those for professionals in either the educational or support staffs. This action would provide a career ladder for highly competent support staff members and would free professionals to pursue the work for which they were trained and appointed.

GUIDELINE
Wage and Salary Administration

GUIDING PRINCIPLE: ***A salary program, externally competitive and internally consistent, should be established in the state education agency to attract, retain, and motivate personnel most qualified to achieve its goals.***

The personnel of the state education agency must be highly qualified for the agency to accomplish its goals of providing educational leadership and service to school districts, the people, the legislature, and public officials. The professional personnel in both the educational and support staffs must be endowed with the qualities of leadership, be experts in their fields, and have sensitivity to the educational needs of the state. The clerical and technical staff must be highly proficient in the use of their skills and committed to the team effort of the agency. Personnel of this caliber come high in the marketplace.

The purpose of agency wage and salary administration should be to attract, retain, and motivate personnel qualified to achieve the goals of the agency. Objective and continuing methods of wage and salary management must be established to assure accomplishment of this purpose.

Briefly stated, the salary program should provide (1) salaries comparable to those in organizations competing with the state education agency for the best qualified candidates; e.g., colleges and universities, the highest paying school districts, state agencies and, in some instances, private companies; (2) a salary structure that assures reasonable internal consistency based on duties and responsibilities; (3) salary incentives adequate to retain employees performing satisfactorily and additional incentives for outstanding performers.

The salary program also should provide means for making known to all employees the pay-setting methods, the policies and procedures established to attract and retain professional and support staff people, and the means for studying and resolving alleged pay inequities.

Basic pay principles. To assist administrators in achieving and maintaining pay program objectives, the principles governing salary administration must be firmly based in state law or agency policy. The enduring principle should be: to pay state education agency personnel the prevailing salaries paid personnel in competitive organizations performing similar work in positions requiring similar experience and training.

A corollary principle is that a salary schedule and rules governing its use must be established to provide a framework for determining (1) a salary range for each classification; (2) the amount of salary differential between classes; (3) internal salary relationships among occupational groups; and (4) the step placement of each employee within the appropriate range.

Basic salary survey. The prevailing salaries in competitive organizations should be periodically determined through the most objective means possible. An agency exercising a leadership role is competing with colleges and universities for professional candidates with doctoral degrees; therefore, it must offer salaries comparable to those paid professors, deans, and directors in such competing institutions.

State education agencies must include in a basic salary survey organizations competing directly with them. If school districts, the U.S. Office of Education, and private companies are the chief competitors for candidates with a particular expertise, appropriate positions in these organizations should be included in the basic salary survey.

Selecting the survey sample and key jobs for which salary data are to be gathered is a technical process which should be handled by a trained personnel staff or by management consultants. Once the prevailing salary level has been determined for key classifications and adjusted on the basis of internal agency classification relationships, appropriately competitive salaries can be determined.

The budget request for salary funds should be equivalent to the amount needed to establish appropriate salaries rather than basing the request on what funds may be available. Even though sufficient funds may not be appropriated because of revenue and political problems, the salary request will stand as a record of what salary funds are needed to achieve internal consistency and a competitive position. Determination of appropriate salaries can also serve as a record of salary differentials to be maintained in the agency when apportioning salary funds in the event they are insufficient to set appropriately high salaries.

Supplemental salary surveys. Since a basic salary survey cannot adequately identify the prevailing or competitive salaries for high-level and special positions, the basic salary survey should be supplemented. Salaries for positions requiring a high degree of leadership or expertise should be based on salaries for comparable positions within the geographic boundaries most likely to yield the best candidates for these positions. Salary surveys covering large geographic areas can be made administratively feasible by utilizing data from regional and national salary surveys.

The salary of the chief state school officer should be determined on the basis of a comparison with chief executives in private industry and colleges and universities with a similar scope of leadership functions and administrative responsibilities.

The present low salaries of chief state school officers (cited in Chapter III) make it extremely difficult for a state education agency to attract and retain an individual outstanding in the field of education. Furthermore, the low salaries of chief state school officers in most agencies obstruct the raising of professional salaries to competitive levels. Certainly, the chief state school officer should be the highest paid public school administrator in the state, since he has responsibility for public education of the state.

Regardless of what salary comparisons are determined appropriate for setting the chief state school officer's salary, it is most essential that an objective and continuing method be established by the legislature, the agency, or jointly.

Salary schedule. Fundamental to the maintenance of appropriate salaries is a salary schedule, with accompanying policies and rules for its use. The salary schedule should have a fixed percentage differential between each step of a range and between each range. Each classification in the agency should be assigned to a salary range on the basis of (1) the prevailing salaries for key classifications in competitive organizations; (2) the salary relationships among classifications in the agency; and (3) the amount of salary funds appropriated.

The schedule should be revised only when it needs extending to encompass higher salary levels; only the placement of each classification on the schedule should be changed periodically. Changes in the place of a given classification on the schedule should reflect current prevailing salaries, modifications in class concepts, or recruitment problems.

The use of an established salary schedule makes salary administration workable and makes changes more understandable to employees since they become familiar with the schedule and with salary procedures regarding its use.

Salary differentials. The salary differential between classifications, such as those classifications within a series, should be sufficient to reward adequately an employee for assuming additional duties and responsibilities and provide incentive for advancement. Significant salary differentials (i.e., meaningful pay raises as the result of promotions) are incentives for employees to seek more training and to compete for the next higher level, and thus they are encouraged to accept more responsibility.

Appointment above the minimum salary step. Another important salary policy concerns "advanced step appointment"; i.e., appointment of a new employee to a step above minimum in the salary range for his classification. This practice can be detrimental to the morale of employees appointed at a lower step of the range, but it may be necessary when there are severe recruitment problems. Appointments above the minimum salary step, therefore, should sometimes be made but always with the condition that the advanced step at which a new employee is appointed be determined on the basis of predetermined well-known criteria. Since high morale is important to the agency, the criteria for determining advanced step appointments must be in writing, known to all employees, and applied equitably to all employees within a given classification.

In instances when the agency salary is not competitive, the second or third step of the range should be made the entry step, and all employees in the class should be advanced a corresponding number of steps. This practice, "advanced step recruitment," is the most manageable and equitable means of administering a salary program when recruitment is a problem because of low salaries.

Downward reclassification pay provision. The classification program may be rendered ineffective because of the problems involved in reducing an employee's salary when his classification is found to be too high for the level of duties performed. This problem may be alleviated by having the amount of an employee's salary maintained even though his classification is lowered. This means that an employee reclassified downward would not receive step increases unless the salary range for the new classification extends beyond his current salary.

Salary increases based on service and performance. The rationale for periodically granting automatic longevity salary increases is that an employee's competence and effectiveness increase in proportion to the amount of experience on the job, and salary increases help to retain incumbents, thus saving recruitment and training costs.

A salary increase program based on employee performance should also be established since outstanding performers are partially motivated by monetary considerations and the accompanying recognition. An employee whose work is truly outstanding should be advanced on the appropriate salary range at a faster rate than the average performer. Retention of outstanding people often depends on salary increases based on performance.

GUIDELINE

Fringe Benefits Program

GUIDING PRINCIPLE: *A fringe benefits program that meets the particular needs of the professional and support staffs should be established in the state education agency; it should be sufficiently competitive with other public agencies and private firms to help attract and retain outstanding employees; and it should provide compensation for the loss of family income created by such matters as illness, accidents, unemployment, death, and retirement.*

A fringe benefits program designed to meet the needs of state education agency personnel is a vital ingredient in a progressive personnel program. In the United States, employee benefits average 24.7 percent of the payroll dollar. Private industry and government have committed themselves to such a cost because they believe that good fringe benefits programs contribute toward recruiting and retaining outstanding employees.

Fringe benefits practices indicate that plans are sometimes adopted on the basis of what other agencies and companies offer rather than on the basis of the needs of the employees for whom the benefits are provided. It is important that agency staff members of the state education agency know what fringe benefits they have, the value of the benefits, and how the benefits compare to those provided employees of school districts and other organizations with similar employment requirements.

Program development. A first step in the development of a fringe benefits program should be the assignment of this responsibility to the personnel director. A second step should be the establishment of an advisory committee composed of representative professional and support staff members; the committee would develop goals for a fringe benefits program and make recommendations for meeting such goals. The next step should be to determine how the agency compares with other organizations in regard to the amount of funds available for fringe benefits and to take the necessary steps to obtain needed funds. The fourth step should be to conduct an opinion poll to determine employee desires and to conduct statistical surveys to predict the most probable needs of the average professional and support staff member in regard to fringe benefits. The final step is implementation of the fringe benefits program.

Examples of programs. The fringe benefits program should be viewed in its entirety. Some benefits, for example, might better be offered in conjunction with other state agencies because the larger employee base may affect insurance benefits. The program should provide compensation for the possible loss of family income, and it should be designed so that the fringe benefits dollar is apportioned as required to meet the most important needs and desires of the professional staff and support staff.

Once the amount of money to be spent on fringe benefits has been determined, it should be apportioned to meet the differing benefit needs of the professional and support staffs. Examples of benefits which may meet the needs of the professional staff are tax-deferred annuities and sabbatical leaves, while those for the support staff may include dental insurance and state contributions for health insurance that are greater than those provided for the professional staff. For both the professional and support staffs, a retirement planning and counseling service, beginning at least ten years prior to actual retirement, probably is a need in all agencies. Another possible common need is transferability of retirement benefits and benefits, such as tax-deferred annuities, between governmental jurisdictions through reciprocity agreements. This could be beneficial to recruitment.

Employee understanding. It is essential that available fringe benefits and the percent of the payroll dollar spent on them be made known to staff members and potential employees. This is the key to having the fringe benefits program enhance the recruitment, motivation, and retention of quality personnel. By keeping the fringe benefits competitive and improving employees' understanding of them, the fringe benefits program will become a valuable asset to a state education agency.

GUIDELINE

Communications

GUIDING PRINCIPLE: *To enhance team effort and to facilitate efficient work performance, the state education agency should establish the means for ensuring the systematic dissemination of information and two-way communications.*

To promote the work and progress of the agency, personnel within the agency should be encouraged to keep open lines of communication up and down the chain of command and among agency units. Communications should be facilitated through planned procedures and through publications which (1) keep personnel informed concerning matters pertinent to their work and to the activities and programs of the agency; (2) provide feedback for supervisors and administrators concerning progress toward goals; and (3) ensure high morale and agencywide teamwork.

Every effort should be made to plan a system of communications in the agency which ensures that information needs are met and that expeditious means for disseminating such information are utilized. The best channels for encouraging two-way communications and disseminating factual information should be determined for each item of information to be conveyed. Efforts to improve communications will reap immediate returns in improved morale, team effectiveness, and work quality.

Communications expert. To promote an effective communications system, an expert in communications should be delegated responsibility for the internal dissemination of information. This "information officer," whose duties include maintaining a system of internal communications, should have responsibility to (1) develop a house organ; (2) advise administrators on efficient methods of systematically disseminating various types of information; (3) foster communications among units and groups of employees; and (4) assist administrators in preparing statements concerning the philosophy, goals, activities, and programs of the agency.

Communication techniques. Some opportunities to enhance communications through employee involvement are: agencywide, departmental, and unit meetings; vertical and horizontal committee assignments; suggestion systems; opportunities to present ideas through the house organ; employee opinion polls; and cross-sectional management advisory groups representative of the personnel employed in the agency.

Involvement of the staff in the formulation or revision of the agency's goals, policies, and programs will (1) lead to a clarification of goals, rules, and operation; (2) provide the employee with an opportunity to establish his identity in the agency and to express himself; (3) encourage communications among units of the agency; and (4) provide opportunities for unit heads and top administrators to learn what employees are thinking and for employees to learn the views and plans of agency administration.

GUIDELINE
Employee Orientation Program

GUIDING PRINCIPLE: *To ensure effective adaptation of the new employee to the agency and to his work unit, the agency should provide him with an understanding of the agency's organization and functions, the work and purpose of his assignment and how it relates to agency objectives, what is expected of him and his relationship to the people with whom he will work, and opportunities for growth and development in the agency.*

It is well established that planned orientation is an important aspect of personnel administration. Prompt orientation of the new employee to his specific assignment and to the total agency enables him to function effectively at the earliest possible time. Of the total personnel program, effective employee orientation can have the greatest positive effect on employee relations with the least effort and at the lowest cost.

Purposes of orientation. The employee orientation program has two primary goals: orientation to the work unit and orientation to the agency as a whole. The objectives of the orientation program are to create favorable attitudes, to establish a sense of belonging in the employee, and to facilitate his learning. Other objectives which can be achieved through an orientation program follow:

- *Reduction of turnover.* Turnover is highest in most agencies during the first year or two that persons are employed. While there are several factors which contribute to turnover, it has been demonstrated that an effective orientation program substantially reduces resignations and dismissals.
- *Answers employee questions.* A well-conceived orientation program ensures that the new employee's questions are answered and that he is not left in the position of having to seek answers from his fellow employees.
- *Reduction of grievances.* When the orientation program ensures that the new employee is informed of his obligations and rights and helps him establish good relations with the administration, his supervisor, and fellow workers, the most important step toward obviating grievances has been taken.

Scope, content, and techniques of orientation. The starting point in developing an orientation program should be to design a plan that provides new employees with essential information, achieved both through unit and agencywide orientation.

A wide range of topics should be covered during the orientation program—from parking lot locations to the basic personnel policies and from details of assignments to agency goals. A new employee should be given a bird's-eye view of the agency; this view should be narrowed until he can see the place of his work unit in the agency and his place in the unit.

The orientation program should be designed to accomplish two objectives: (1) give the new employee the feeling that his immediate supervisor, co-workers, and agency administrators have a warm and friendly interest in him; and (2) help him adapt to his unit, his assignment, and to the agency so that he can become effective and productive on the job as soon as possible.

The new employee must be told precisely what is expected of him in his assignment and as a member of the agency staff, and during the orientation program he must also be advised about such matters as personnel policies and practices, employee benefits and services, agency organization and programs, channels of communication, available training programs, rules and regulations of the agency, and agency functions and goals.

Orientation techniques are numerous and varied. Group meetings, interviews, and agency tours are a few that have proven effective. Techniques should be adapted to the agency's needs and to the objectives which have been established for the program. A promising orientation program does not necessarily consist of elaborate techniques, nor must it be expensive; the key factor is how well the program is planned and carried out. The agency should not overlook the importance of printed materials, films, and similar media to the orientation program.

Responsibility for orientation. An effective orientation program is one for which work unit supervisors and the personnel director share responsibility. Staff functions of the personnel director are planning and coordinating the entire orientation program; this includes preparing printed materials, holding orientation sessions, and assisting supervisors with their parts in the program. The first line supervisor, too, has an important role since he is the only one who can give the new employee the personal attention which is essential to his success.

GUIDELINE

Employee Evaluation Program

> GUIDING PRINCIPLE: *In order to realize the potential of its employees, the state education agency must establish an employee evaluation program that includes a plan to evaluate accomplishment of work objectives and additional plans for rating probationers, promotable employees, unsatisfactory performers, and outstanding performers.*

The agency which emphasizes the continuing evaluation of each employee's performance will more likely accomplish its purposes than will the agency that does not have an ongoing evaluation program. A realistic appraisal of employee work performance and a record of past performances are essential to supervisors and administrators directing activities. Performance evaluations made jointly with the employee reinforce productive work practices, discourage unproductive ones, and direct the employee's energy toward achieving the objectives most meaningful to the agency.

A comprehensive evaluation program should encompass as many separate plans as there are purposes for performance evaluations in the agency. Such a program assures that evaluations do take place, that records are maintained, that there is relative consistency among ratings, and that each plan is designed to meet a specific need.

Primary evaluation plan. The primary plan in the evaluation program should be the one that identifies an employee's strengths and weaknesses pertinent to the fulfillment of his assignment. This should be a continuing process involving the employee and his supervisor as a part of determining work assignment objectives, means of meeting them, and employee skills and knowledges needing development. It is important, however, that procedures be developed for maintaining a written record of each employee's progress in the development of his skills and the accomplishment of work assignments. In order for the written record to be most meaningful for the employee and the agency, it should be a part of the design for the employee's development. The accomplishment of specific work tasks and of overall assignments should be the goal of the primary evaluation plan and the criterion for appraising the employee. After an employee has passed the probationary period and his future development has been outlined, written entries regarding performance and development need be made only when pertinent to maintaining a record of changes in behavior, assignments, and training needs.

Rating plans. The following rating plans may stem from the primary evaluation plan that has been described, but the mechanics and procedues for these plans should be developed separately.

- *Probationary rating.* Rating sheets should be required from a probationer's immediate supervisor on a periodic basis to assure that an evaluation is made and that the agency has records of probationers' performance. As stated in the guideline "Probationary Period and Final Appointment," the probationary period should be considered the final stage in employee selection. A performance rating plan, therefore, should be developed and used to assure selection of employees for permanent appointment on the basis of ability and competence determined through observation and analysis of performance on the job. The use of traditional performance evaluation factors—quantity of work, quality of work, initiative, and effective personal contact—would be appropriate for this plan.
- *Ratings for salary decisions.* A rating plan should be established to provide a justifiable means for granting merit salary

increases to employees when their performances are satisfactory and outstanding and for withholding automatic step increases when their performances are unsatisfactory. Justification for withholding salary increases or granting merit increases should be required of supervisors in a written narrative which clearly states the rationale for each case.

- *Promotional ratings.* A plan should be developed to assure evaluations and written ratings of employees vying for promotions. These should be in terms of the potential the employees have shown for carrying out the higher-level duties and responsibilities of the positions for which they are competing. It is of paramount importance that this plan stress the qualities and talents that would be required of employees seeking promotions rather than how well they are performing in their current assignments.

Responsibilities. Performance evaluations and resulting decisions concerning retention, promotion, and salary increases are the responsibility of each employee's immediate supervisor. The personnel director, however, must develop and coordinate a program which encompasses (1) involving employees in the development of evaluation program objectives and procedures; (2) training supervisors in making evaluations and in preparing written records of them; (3) maintaining employee evaluation records; and (4) reviewing periodically the total employee evaluation program.

GUIDELINE
Employee Development

GUIDING PRINCIPLE: *An employee development program should be established in the state education agency to improve employee performance, to prepare employees for promotion, and to retrain them because of changes in work needs or in individual work capacity.*

A planned employee development program should be established to provide a wide range of training activities that could be utilized in developing employees to meet the work needs of the agency. The program must be aimed at closing the gap between the agency's need for employee skills, knowledges, and abilities and the ones actually possessed by agency employees. While primarily concerned with achieving agency goals, the program should encourage and provide for the realization of maximum work capacity and skills through careful analysis of each employee's performance and potential.

A personnel shortage often dictates the appointment of individuals deficient in skills and knowledges or whose attitudes are questionable. The employee development program must provide means for these employees to learn to work, as soon as possible, at standards acceptable to the agency. In the case of current employees performing competently, their assignments may change because of new program requirements or because of technological changes such as increased automation. Employees affected by these changes should be aided through the employee development program to adapt to the idea of change and to develop the new skills and abilities required. In still other cases, the work capacity of employees may change as a result of age, illness, or physical accidents. The employee development program should also assist these employees to adapt to new assignments within their capacities.

Program development. Basic to the program should be an inventory of employees' strengths and weaknesses. This inventory should be compiled jointly by each employee and his supervisor.

Inventories should be analyzed to determine the developmental needs of all personnel. Training and development activities can then be designed to meet these needs. After employee development needs have been identified, they should be reviewed to assure that overall agency needs are also met and then that all needs are given proper priority.

The employee development program and its goals should be developed by committee representatives from top administration, middle management, the professional staff, and the support staff.

Training activities. Examples of specific training activities or work activities that can be used as training are: on-the-job training, agency committees and task force assignments, job rotation, conferences and workshops, selected academic training, interagency exchange assignments, special research assignments, selected program responsibilities, and sabbatical leaves for new work experience or advanced study.

Responsibilities. Employee development should primarily be a unit head responsibility, since the individual employee and his supervisor determine the employee's development or lack of it. The employee and his unit supervisor should jointly determine development needs and, with the help of the personnel director or training officer, select training activities that will meet these needs.

The personnel director or training officer should be responsible for planning, coordinating, and evaluating the development program and its content; one of them should also be responsible for advising both management and employees concerning the program.

Evaluation. Evaluation of training activities and the entire employee development program should answer this question: "Did we get there?" Evaluation should determine whether program objectives are met, development activities are effective, and employees are gaining the needed skills, knowledges, and attitudes. Means for evaluation should be included in the plan for each development activity. In some cases, evaluation can be accomplished through formal, structured questionnaires; for other activities, supervisor conferences and management observation over a period of time are the best evaluation methods.

The personnel director should identify and report the results of the employee development program, particularly in terms of improved employee performance and increased production. He should also make changes which will improve the program.

GUIDELINE
Employer-Employee Relations

GUIDING PRINCIPLE: *Procedures should be established in the state education agency to foster employer-employee relations which ensure that management recognizes the needs and concerns of employees and that employees work productively toward achievement of agency goals.*

The quickening pace in improvement of employer-employee relations techniques throughout the nation highlights the need for evaluation of employer-employee relations in the state education agency. The state education agency should provide a forum for both administrator and employee to express their views and should establish channels of communication between management and employee organizations.

Employee organizations become increasingly militant in situations where communications between administrators and employees are ineffective and salaries are thought by employees to be too low. Salaries and fringe benefits tend to become a focus for dissatisfaction under such conditions, especially when employees are already frustrated by work problems or are not involved as recognized individuals in the work of the agency. The agency should identify and resolve frustration-causing work problems as early as possible; early attention to such problems should bolster communications whether or not employee organizations exist or are desired by agency administration. When employee organizations do exist, they should be recognized.

Employee organizations. Collective bargaining with the right to strike is not appropriate to public employment. But this does not mean that the collective view of public employees should not be heard and their requests considered and met in light of the best interests of the agency.

Obviously, employees other than top administrators cannot make final policy decisions. Nevertheless, they should be in a position to comment on policy decisions that affect them and to discuss how policy, once established, is carried out. This can be accomplished by encouraging the individual to express his views in normal day-to-day work relationships and through recognition of organizations that express employee opinions.

Employee organizations in an agency where administrators foster mutual respect and teamwork can become valuable in helping to identify employee opinions concerning such problems as poor working conditions, low salaries, poor fringe benefits, and inadequate communications. The employee organization can further assist in resolving problems by suggesting remedies and in disseminating information concerning these matters.

Differences and recognition. To ensure effective employer-employee relations in the agency, means must be developed for resolving differences and providing recognition for employees individually and collectively. Toward this end, written policy statements on employer-employee relations and employee organizations are requisite. Also needed is machinery for employee organizations to express views concerning personnel decisions that affect employee welfare. A specific means for resolving differences and recognizing employees is a grievance procedure that allows employees to be heard by a "third party" concerning complaints that are not resolved through normal work procedures. (A more detailed consideration of grievance procedures can be found in the "Grievance Procedure" guideline, which follows.)

GUIDELINE

Grievance Procedure

GUIDING PRINCIPLE: *The state education agency should establish a written grievance procedure, known to all employees, which involves a committee in the resolution of staff complaints.*

A written grievance procedure should be established to provide staff members an opportunity to appeal to agency administration when it is believed existing rules and regulations are not being complied with, existing procedures are unjust, or working conditions are intolerable. The existence of a grievance procedure should assure that imagined or real problems that cannot be resolved through normal work procedures and relationships are resolved as easily and equitably as possible.

The use of a grievance procedure should be the last resort in resolving differences between an individual and his supervisor or between a group of employees and administration. Use of the grievance procedure usually indicates a breakdown in communications or a failure to maintain positive employer-employee relationships. The immediate supervisor is responsible, through normal administrative procedures, for resolving employee complaints before they become recognized grievances. When complaints are not settled through normal supervisory or administrative procedures, a structured grievance procedure should be available.

It is quite possible that the grievance procedure will seldom, if ever, be used since differences tend to be resolved through normal procedures when there are means available for formal action. Even more important, establishment of the procedure makes known to all staff members the chief state school officer's recognition of each employee's right to be heard.

Grievance committee. The establishment of a grievance committee, as part of the grievance procedure, assures that an issue is reviewed by individuals other than those involved in making the decision that precipitated the complaint. Removing the review from the line of command precludes the tendency of an administrator to support the decisions made at lower levels of review because of a tacit commitment to support his subordinates.

Members of the professional and support staffs should be involved in determining the makeup of the committee and in developing operating procedures. The role of the committee should be to (1) seek informal reconciliatory actions between grievants and administration or formulate recommendations for resolution if reconciliation is not accomplished; and (2) periodically analyze grievances to determine trends or complaints symptomatic of major problems and submit reports identifying them to the administration.

Grievance review procedure. A grievance procedure should provide that:

- Grievances and responses to them are in writing.
- The employee is allowed to present his grievance himself or through a representative of his choice.
- A grievance is initiated through the grievant's immediate supervisor and moved up the line of command until it is resolved or referred to the grievance committee.
- Grievances are referred to the grievance committee as early in the chain of command as seems necessary.
- When the recommendation of the committee is the same as the decision made by the chief state school officer, the complaint is considered resolved. If the recommendation differs, provision should be made for the case to be referred to an impartial board or hearing officer designated to adjudicate issues and appeals; the board or officer should be free of agency and political influences.

It has been found that few formal grievances are initiated, and it is believed that the majority of those initiated could be resolved before an impasse occurs between the chief state school officer and the grievance committee. However, an impartial appeal board or hearing officer is needed to resolve difficult problems.

GUIDELINE
Termination of Service and Disciplinary Actions

GUIDING PRINCIPLE: *The agency should establish provisions for expeditiously terminating an employee's services or for taking other corrective actions when the employee's performance or conduct is unsatisfactory.*

Individuals change for a variety or reasons; e.g., age, traumatic experiences, health, and so forth. Some employees regress after being employed, and some cannot make the necessary adjustments to new requirements and responsibilities. When unsatisfactory changes occur and after reasonable efforts have been made to assist employees to improve their conduct or performance, termination of employment or some other corrective action such as reassignment, demotion, or suspension is necessary.

Termination of services. Termination of an employee's services is an unpleasant task which should be accomplished in as kindly a manner as possible. The agency's first responsibility, however, is to the state and its public school system. When the programs of the agency are impeded by an employee's incompetence or misconduct, dismissal is necessary if no other corrective action will resolve the problem. While the employee should be protected through judicious procedures from capricious and prejudiced actions by those in authoritative positions, the procedures should encourage those involved to prepare sound cases for dismissal or discipline; the procedures should not be designed so that they intimidate those in authoritative positions.

Unfortunately, administrators often tolerate relative incompetence and minor misconduct because of the possibility of having to go through an appeal hearing and then of possibly having to live with a decision favoring the employee; they will also avoid taking disciplinary actions because of the time involved. Since unwillingness to cull poor performers reduces standards to the lowest common denominator, supervisors must be encouraged to prepare cases and take the time to go through procedures that must be established out of fairness to employees. In order to protect employees and encourage separation when no other action will resolve the problem, employee separation and other disciplinary procedures should be clearly delineated, readily followed, just, and as expeditious as possible.

Employee protection. Employees should be protected by fair inquiry and firm procedures against arbitrary and unwarranted actions. To provide employees with adequate consideration and safeguards, the agency should establish:

- Policies and procedures which assure that staff members are kept well informed concerning regulations, rules of conduct, and work requirements
- A probationary period during which time the employee can be separated from the agency with less stress on him than if permanent status had been attained
- The requirement that sufficient cause for disciplinary action or dismissal be shown when an employee has earned permanent status
- Means which assure that the employee will receive prompt notification of impending disciplinary action or dismissal
- Appeal procedures which guarantee a permanent employee the right to appeal his case to an impartial board or hearing officer
- Means for informing all employees of dismissal and disciplinary procedures

Reasonable job security and protection against arbitrary actions are recognized as cornerstones of progressive personnel programs. Nevertheless, the consequences of preoccupation with security are to guarantee the survival and perpetuation of the undeserving as well as the deserving employee. Rather, the state education agency should place the emphasis on merit and fitness to stimulate efficiency and to provide public education in the state with leadership and services of the highest possible quality. This is more than good personnel practice; it is sound administration.

GUIDELINE
Physical Working Conditions

> GUIDING PRINCIPLE: *The state education agency should provide a physical working environment which facilities maximum performance by each employee.*

Physical working conditions should be provided which are conducive to good health and afford employees a reasonable degree of comfort; these enhance the efficient discharge of duties. Working conditions in the state education agency determine, to a high degree, the extent to which employees work up to maximum efficiency, their morale, their loyalty to the agency, and their pride in their work.

Responsibilities. Agency management should provide employees with the most comfortable, healthful, and efficient conditions possible. Whether decisions concerning physical facilities reside within or outside the agency, it is incumbent upon the agency to bring about desirable working conditions. The personnel director should be responsible for identifying and referring problems concerning working conditions to top administration. The personnel director can use such means as opinion polls and ad hoc committees to identify physical conditions affecting employee morale and efficiency.

Examples of physical working conditions. Facilities in the working environment directly related to employee efficiency and morale are work space, heating, ventilation, lighting, equipment, rest rooms, parking, and eating facilities.

For instance, an employee should have adequate space to ensure reasonable privacy and uninterrupted work; failure to provide such space creates distractions, brief periods of concentration, and emotional tension. Proximity of work units is another example of physical conditions affecting an employee's work. To facilitate communications and stimulate mutual interests between work units, the agency offices should be contiguously located.

Other physical working conditions affecting the ability of an employee to carry out his assigned tasks effectively and efficiently are faulty equipment, high noise levels, inadequate lighting, and deficient air conditioning. High-level maintenance, modern equipment, and appropriate work tools often prevent the loss of many man-hours per day. Studies indicate that losses in man-hours caused by poor environmental conditions are usually greater than the costs of modifying the environment.

GUIDELINE

Line and Staff Responsibilities and Relationships

> GUIDING PRINCIPLE: *Officers in line positions of the state education agency, with counsel and advice from staff officers, should be responsible for educational program decisions and for policy decisions which will achieve agency objectives and stated goals.*

The state education agency is composed of personnel responsible for carrying out the primary purposes of the organization and of personnel responsible for offering internal administrative services. The roles of these two groups must be made clear if effective agency administration is to be achieved. The decision-making relationship of line and staff officers must be developed with the objective of making the best use of staff services and expertise and still retain educational program decision making as the prerogative of line officers.

In keeping with the line-staff administrative concept, the line in the agency consists of those officers in divisions, bureaus, and sections in the chain of command which carry out the primary purposes of the agency—leadership and service for the educational program of the state. The staff consists of officers in those units charged with providing specialized advice and assistance as a part of internal administrative operations for line officers who then can carry out the educational programs of the agency more effectively.

Responsibilities. Top administrators usually are line officers who are responsible for both line and staff segments of the agency. Top administrators are responsible for planning and formulating the educational programs and overall educational goals of the agency, and they are responsible for developing within the agency the expertise and resources necessary to accomplish agency objectives. They are responsible for molding the line and staff segments into an effective team. Other line officers—those responsible to top administrators—carry out the primary goals of the agency.

Staff officers are responsible for providing special knowledge and skills through consultative procedures or special program services for the benefit of line officers. Examples of the kinds of services provided by staff officers are fiscal, personnel, legal, purchasing, electronic data processing, and public relations.

All employees should understand that educational program decision-making is a line responsibility. Line officers, including top administrators, must accept this responsibility and in doing so make optimum use of staff officers, their advice, recommendations, and services. In instances when the chief state school officer delegates internal operational responsibilities, such as the recruitment program to the personnel director, conflicts between line officers and staff officers may occur; these must be resolved by top administrators responsible for both operations.

Relationships. Within the agency, line and staff are of equal importance to the smooth and effective functioning of the agencies' management team. Top administrators have the responsibility to spell out and make very clear the relationships between line and staff officers and to coordinate the efforts of both. Neither line nor staff officers can develop criteria for decision-making unless the operational structure and policies of the agency are made clear, the manner in which goals are to be reached is described, and the specific assignments of each person in the organization are delineated and made known.

V

Self-evaluation

The purpose of this chapter is to present an approach to personnel program evaluation in the state education agency through the use of scorecards. A consideration of concepts to bear in mind during the evaluation process precedes the presentation of the scorecards.

Determinants in Program Evaluation

No two state education agencies are alike, for no two are of the same size or serve the same constituents or meet identical social, educational, and political needs. How the agency is organized, how its personnel are assigned, where and when its services are rendered, what controls are utilized, and many other factors determine the choice of evaluative criteria and reporting and follow-up procedures. After these determinants have been identified for the particular agency, the evaluation process should be designed to be applied at the level where the personnel program is carried out and at the place of administrative control.

Agency Uniqueness

The staffing of personnel and the extent of specialization have close relationships to the functions of the agency and its fiscal resources. Within these limitations, other standards of staffing and utilization of personnel are conditioned by such factors as the size of the state, its geographic features, arteries of transportation, communication media, and climate; the impact of governmental (federal, state, county, municipal) agencies; rate of population growth; and the educational program developed, services rendered, and leadership exercised by the agency to meet educational needs. Thus, any agency has the right to consider itself unique with respect to the day-to-day problems of personnel administration with which it is faced. Periodic evaluation of the personnel program of the state education agency in light of its uniqueness is imperative to maintain maximum efficiency.

Evaluation Design

Major aspects of the overall personnel program are its functions and goals and the policies, programs, and procedures governing the achievement of the goals. Therefore, the state education agency must select techniques to evaluate effectively how well its programs, policies, and procedures are helping it carry out its functions and achieve its goals. Moreover, the availability of an evaluation staff, as determined by the agency's size and budget appropriations, will have an important bearing upon an agency's answers to the following questions:

- What are the purposes of the evaluation?
- What shall be the scope of the evaluation?
- Who shall conduct the evaluation?
- Shall the evaluation be conducted by evaluators specialized in a phase of personnel administration or by personnel generalists?
- Shall designated staff members be permanently assigned to the evaluation function, or shall this function be rotated among staff normally performing other duties?
- How often shall evaluation take place?
- Shall the evaluation constitute a self-study, or shall it involve resources outside the personnel program?

Resolving the problems which these questions raise is, of course, a matter for internal decision making.

Another matter for internal decision making is the review and implementation of recommendations resulting from the evaluation. To warrant attention, evaluation recommendations should be concerned with at least four areas:

- Elimination of outmoded functions and ineffective programs
- Development of forward-looking and meaningful programs and services
- Elimination of intradepartmental duplication of effort in obtaining and disseminating information
- Initiation of improved methods and acquisition of modern equipment for carrying on necessary processes and procedures

The extent to which recommendations may be applicable will often depend in part upon the assistance outside sources lend to the evaluative process. The expertise of business management consultant firms, industrial engineering and research firms, and university and college consultants in organization and methods can be used to enhance the evaluation process. By using these supplemental resources, an agency will more likely avoid the pitfalls of insularism.

In the present consideration of personnel program evaluation, inclusion of the entire program has been assumed. Occasions arise, however, when only specialized aspects of the program should be evaluated. The essential point to emphasize in such cases is that the part be viewed as an integral portion of the whole personnel program. In due course, the segmented studies will become the total evaluation of the overall personnel program.

The Primary Agent

The purposing, planning, and action stages of the evaluation should center in the individual in charge of the personnel program, who should have a direct line relationship to the chief state school officer. The personnel director is sensitive to the facts of organization and administration. He also understands the basic responsibility of the chief state school officer for directing and approving corrective action, as well as for delegating authority for such action. Thus, the personnel director is in the best position to head a program of evaluation which results in the chief state school officer taking suitable corrective actions and delegating such action to line officers or to the personnel director.

The Evaluation Team

It is essential to develop a team for the purpose of carrying out the evaluation study. In the usual situation, the personnel director should head up a team consisting of representative staff members. Members of the personnel office staff should perform as much of the clerical processing and "legwork" as is necessary to support the team. The primary objectives to be achieved in developing an evaluation team are (1) to muster sufficient manpower to carry out the study efficiently; and (2) to involve representative employees sufficiently to assure adequate participation.

Preparation for Evaluation

Under the leadership of the personnel director, the evaluation team should become thoroughly familiar with the whole evaluation program. The purposes and goals are examined, the general and specific implications are listed and organized, the basic relationships of the agency are considered in the light of policy, and operating procedures are reviewed. Research reports and other publications dealing with evaluation are distributed to team members so that each may review the principles of evaluation.

During this preparation, it should be remembered that the three stages in the program—purposing, planning, and action—are essential to make the evaluation experience meaningful in the determination of personnel program effectiveness.

The evaluation team should establish criteria to use in personnel program evaluation. These criteria, which are based on standards of performance and accomplishments, should be designed to measure the outcomes of personnel policies, practices, and procedures in terms of program goals. The philosophy of the agency takes on greater meaning when the evaluation process links accomplishments with program goals.

Evaluation Participation and Timing

In regard to timing evaluations, the less hectic times of year should be determined and utilized so that a minimum of service is disrupted. Additionally, the work schedules of individual staff members must be considered so that no one is unduly burdened. Such concerns as these are the responsibility of the personnel director so that line officers are not in the position of having to protect their staffs from the rigors of the evaluative process. These considerations serve to emphasize the merits of establishing a periodic occurrence for the evaluation program. This should be done by the chief state school officer with appropriate announcements so that evaluation achieves its rightful place in the normal workload of the agency.

Guidelines and Scorecards

The specific instruments developed during this project for use by a state education agency are the scorecards, which appear later in this chapter. A scorecard has been developed for each of the guidelines, and each scorecard consists of items defining conditions and activities to be evaluated. These items follow closely the sequence of major points in the guidelines.

Use of Scorecards

The scorecards are designed to be used in a variety of ways. In the state education agency that lacks a personnel office, the scorecard may be useful in identifying personnel functions that should be performed but have been neglected in the absence of such an office. In the agency where personnel administration is centralized in a personnel office, the personnel director may use the scorecards to make an evaluation of the comprehensiveness and quality of his program.

Scorecards may be used as the basis for a formal evaluation of the personnel program by an agency team, a visiting survey group, or a combination of both. They may also be used to obtain evaluations of the program from different perspectives by having evaluations made by top administrators, unit heads, first-line supervisors, and a team composed of representative personnel.

Evaluation of the personnel program in terms of its current strengths and weaknesses is the first step toward its improvement; however, means for improvement should be the primary goal. The result of the evaluation should not be a static record of what exists. Evaluators should note means for improvement, and evaluation committees should consider ratings in light of *how* to improve the personnel program.

Rating Scale

The following scale is to be used in the evaluation of each item on the scorecards:

RATING SCALE

Point value	*Rating*	*Definition*
5	Outstanding	Excellent conditions prevail, or activities are extensive and are exceptionally effective.
4	Commendable	Good conditions prevail, or activities are of sufficient scope and are very effective.
3	Acceptable	Satisfactory conditions prevail, or activities are adequate in scope and are effective.
2	Needs improvement	Unsatisfactory conditions prevail, or activities are inadequate in scope and are insufficiently effective.
1	Ineffective	Conditions or activities are totally inadequate.
0	Nonexistent	Conditions or activities do not exist in this agency.
X	Does not apply	This is not applicable to the agency.

In using the scorecard, the evaluator must keep in mind that he is considering activities and conditions recommended in the guideline and that he is rating the extent to which they are present and the manner in which they are functioning in the program of his agency. Each activity or condition to be rated, when considered in this light, can then be judged fairly as belonging to one of the seven categories of the rating scale.

The evaluator also must keep in mind that each scorecard covers a single element or portion of a total personnel program and, therefore, interrelates with all of the scorecards and, to a degree, is interdependent with some. All scorecards must be completed before the total personnel program evaluation can be visualized effectively.

Rating Directions

To be most effective in evaluating a personnel program through use of these scorecards, a rater should:

- Read the guideline for a given scorecard before making the ratings.
- Think of each scorecard item as a single entity even though some items may cover more than one point that can be evaluated.
- Rate each scorecard item and note the means for improvement in light of his own knowledge, preparation, and experience.

SCORECARD FOR BASIC GUIDELINE

CONTROL OF APPROPRIATED FUNDS

GUIDING PRINCIPLE: **To establish and maintain the best possible personnel program, the state education agency should be fiscally independent (autonomous) of control by other governmental agencies in the use of its appropriated funds once the agency's budget has been established by the legislature and approved by the governor.**

The following items relate to major points in the guideline. Determine the extent to which each condition or activity exists and/or functions in your agency; then mark each item on the scorecard accordingly and note means for improvement.

	Does not apply X	Nonexistent 0	Ineffective 1	Needs improvement 2	Acceptable 3	Commendable 4	Outstanding 5	Ideas for improvement
1. *Educational decisions.* Agency autonomy in the use of appropriated funds is sufficient to assure minimum outside interference in educational program decisions and maximum freedom in pursuing established agency goals.								
2. *Fiscal flexibility.* The agency has sufficient autonomy in the control of its approved budget to modify salary schedules as needed in order to establish and maintain a competitive recruitment position for the professional and support staffs.								
3. *New positions.* Fiscal independence is sufficient to permit the establishment of new positions as they are needed.								
4. *Salary levels.* Establishment of appropriate salary levels for new positions and justified reclassification of existing positions are processed readily and are free of outside fiscal controls.								
5. *Staff time.* Professional staff time is channeled, to the greatest extent possible, into educational program activities rather than into paperwork caused by those fiscal controls which are unnecessary.								
6. *Appointments.* Staff appointments are made without delays caused by unnecessary outside fiscal controls.								

SCORECARD FOR BASIC GUIDELINE

PLANNED AND ORGANIZED PERSONNEL ADMINISTRATION

GUIDING PRINCIPLE: A systematic program of planned and organized personnel policies, practices, and procedures should be established in the state education agency to ensure effective personnel administration.

The following items relate to major points in the guideline. Determine the extent to which each condition or activity exists and/or functions in your agency; then mark each item on the scorecard accordingly and note means for improvement.

	Does not apply	Nonexistent	Ineffective	Needs improvement	Acceptable	Commendable	Outstanding	Ideas for improvement
	X	0	1	2	3	4	5	
1. *Personnel program.* All significant activities, practices, and procedures needed for effective personnel administration in the agency are developed, organized, and maintained to the extent that a comprehensive and effective personnel program is established.								
2. *Objective measures.* The most objective measures of fitness and competence possible are utilized in appointing, retaining, and promoting staff members.								
3. *Equitable treatment.* The personnel program encompasses the establishment and maintenance of clear and concise written policies and procedures which adequately assure equitable treatment of all staff members.								
4. *Political influence.* Policies and procedures of the personnel program adequately protect personnel administration in the agency from political influence.								
5. *Responsibilities.* Each supervisor and administrator in the agency is sufficiently aware of his role and responsibilities in personnel administration so that he can help carry out an effective personnel program.								

SCORECARD FOR BASIC GUIDELINE

ADMINISTRATION OF THE STATE EDUCATION AGENCY PERSONNEL PROGRAM

GUIDING PRINCIPLE: A comprehensive personnel management program should be established in the state education agency, and responsibility for its administration should be vested in the chief state school officer either through (A) independent agency personnel administration; or (B) delegation of administrative authority by the state personnel agency.

The following items relate to major points in the guideline. Determine the extent to which each condition or activity exists and/or functions in your agency; then mark each item on the scorecard accordingly and note means for improvement.

ALTERNATIVE A: INDEPENDENT AUTHORITY

	Does not apply X	Nonexistent 0	Ineffective 1	Needs improvement 2	Acceptable 3	Commendable 4	Outstanding 5	Ideas for improvement
1. *Administration.* The chief state school officer has authority for establishing and administering a state education agency personnel program.*								
2. *Staff.* There is a sufficiently qualified professional personnel staff to adequately develop and maintain a state education agency personnel program.								
3. *Flexibility.* There is sufficient authority to allow for flexible programs and procedures adequate to meet changing needs and emergencies.								
4. *Appropriated funds.* The agency has authority to use appropriated funds to establish and maintain salary and fringe benefit programs which adequately meet agency needs.								
5. *Justice.* A board sufficiently free of agency and political influence has been established to adjudicate employee appeals and employer-employee issues.								

* This item should be rated either "nonexistent" or "outstanding."

Continued —

SCORECARD FOR BASIC GUIDELINE—Continued

ADMINISTRATION OF THE STATE EDUCATION AGENCY PERSONNEL PROGRAM

ALTERNATIVE B: DELEGATED AUTHORITY

The following items relate to major points in the guideline. Determine the extent to which each condition or activity exists and/or functions in your agency; then mark each item on the scorecard accordingly and note means for improvement.

	Does not apply	Nonexistent	Ineffective	Needs improvement	Acceptable	Commendable	Outstanding	Ideas for improvement
	X	0	1	2	3	4	5	
1. *Personnel staffing*. Qualified personnel analysts in the state personnel agency sufficiently understand state education agency problems.								
2. *Salary flexibility*. The agency has sufficient delegated authority to establish adequately competitive salaries and fringe benefits.								
3. *Recruitment*. The agency has sufficient authority to determine recruitment sources and develop effective screening devices and appointment procedures.								
4. *Classification*. The agency has sufficient authority to develop and maintain an effective position classification program for the professional and support staffs.								
5. *Performance evaluation*. The agency has sufficient authority to establish and maintain an adequate performance evaluation system.								
6. *Inservice training*. The agency has sufficient authority and funding to develop and maintain a training program adequate to assist staff members in reaching their potential.								
7. *Promotion*. The agency has sufficient authority to develop and maintain career ladders and promote staff members.								

SCORECARD FOR GUIDELINE

PERSONNEL DIRECTOR

GUIDING PRINCIPLE: The manpower needs of the state education agency, as well as the need for the wisest and the best use of its professional and support staffs, make it imperative that the agency have a personnel director.

The following items relate to major points in the guideline. Determine the extent to which each condition or activity exists and/or functions in your agency; then mark each item on the scorecard accordingly and note means for improvement.

	Does not apply X	Nonexistent 0	Ineffective 1	Needs improvement 2	Acceptable 3	Commendable 4	Outstanding 5	Ideas for improvement
1. *Personnel director.* There is a personnel director adequately trained in personnel administration who is directly responsible to the chief state school officer or reports to him through his chief deputy.								
2. *Involvement.* The personnel director, as a member of the top administrative team, is sufficiently involved in administrative policy matters as the personnel management expert sensitive to employee motivation and reaction.								
3. *Leadership.* The personnel director in a staff capacity provides adequate and effective leadership for the total personnel program and has responsibility for those aspects of it which must be administered centrally; e.g., staff procurement, wage and salary administration, orientation, personnel development, and position classification.								
4. *Counsel.* The personnel director keeps the chief state school officer fully informed concerning such personnel matters as recruitment, staff utilization, morale, salary trends, fringe benefits, and working conditions.								

Continued—

SCORECARD FOR GUIDELINE—Continued

PERSONNEL DIRECTOR

The following items relate to major points in the guideline. Determine the extent to which each condition or activity exists and/or functions in your agency; then mark each item on the scorecard accordingly and note means for improvement.

	Does not apply	Nonexistent	Ineffective	Needs improvement	Acceptable	Commendable	Outstanding	
	X	0	1	2	3	4	5	Ideas for improvement
5. *Policy recommendations.* The personnel director recommends effective policies and standards governing such matters as staff procurement, inservice training, promotions, transfers, and channels of communications with adequate attention to the purposes and commitments of the agency.								
6. *Assistance.* The personnel director provides leadership by assisting administrators to fulfill their roles in personnel administration as line or staff officers and by helping them to evaluate their own effectiveness.								
7. *Adequate staff.* The personnel office is adequately staffed to enable the personnel director to carry out his responsibilities.								

SCORECARD FOR GUIDELINE

PERSONNEL POLICIES

GUIDING PRINCIPLE: **The state education agency should develop written personnel policies and make these known to all staff members.**

The following items relate to major points in the guideline. Determine the extent to which each condition or activity exists and/or functions in your agency; then mark each item on the scorecard accordingly and note means for improvement.

	Does not apply	Nonexistent	Ineffective	Needs improvement	Acceptable	Commendable	Outstanding	Ideas for improvement
	X	0	1	2	3	4	5	
1. *Written policies.* There are sufficient written personnel policies available which treat all subjects important to staff members adequately enough to provide clearly stated guides to actions.								
2. *Policy criteria.* Personnel policies of the agency are definite enough to give guidance, yet flexible enough to allow for judgment needed in given situations.								
3. *Participation.* Representative members of the professional and support staffs are adequately involved in policy development and evaluation.								
4. *Policy approval.* Effective procedures are established for assuring expeditious review and approval of recommended policies.								
5. *Periodic review.* The effectiveness and timeliness of policies are maintained by periodic review and modification.								

SCORECARD FOR GUIDELINE

STAFFING PROJECTIONS

GUIDING PRINCIPLE: **In order to identify and plan for the volume and kinds of manpower needed in the future, the state education agency should develop its processes for making staffing projections.**

The following items relate to major points in the guideline. Determine the extent to which each condition or activity exists and/or functions in your agency; then mark each item on the scorecard accordingly and note means for improvement.

	Does not apply	Nonexistent	Ineffective	Needs improvement	Acceptable	Commendable	Outstanding	
	X	0	1	2	3	4	5	Ideas for improvement
1. *Planning process.* Projection of staff needs is a part of the total planning process of the agency and is related to its programs and objectives to the extent that projections are meaningful.								
2. *Use of available data.* Staffing projections are expedited by readily available records and statistical data, such as turnover rates, program growth expectations, and anticipated retirements based on age profiles.								
3. *Key position vacancies.* Staffing projections adequately identify anticipated needs for developing particular employee skills or expertise.								
4. *Recruitment.* Projections are sufficient to permit the agency to plan adequately for recruiting and screening before vacancies occur.								

SCORECARD FOR GUIDELINE

DESIGN OF WORK ASSIGNMENTS AND EMPLOYEE UTILIZATION

GUIDING PRINCIPLE: **Utilization of employees within the state education agency should be planned to assure that the overall objectives of the agency will be accomplished, that each employee makes a positive contribution, and that work assignments are designed to make full use of talents available.**

The following items relate to major points in the guideline. Determine the extent to which each condition or activity exists and/or functions in your agency; then mark each item on the scorecard accordingly and note means for improvement.

	Does not apply X	Nonexistent 0	Ineffective 1	Needs improvement 2	Acceptable 3	Commendable 4	Outstanding 5	Ideas for improvement
1. *Work assignments.* The agency designs work assignments to utilize fully employee strengths.								
2. *Employee development.* The agency adequately develops employee potential and provides employees opportunities for the personal development of their career interests.								
3. *Inventory.* The agency maintains an inventory of employee skills which adequately identifies their talents and abilities.								
4. *Assignment priority.* Nonessential tasks are sufficiently deleted from assignments, and emphasis is placed on priority activities.								
5. *Professional assignments.* Professional assignments of staff are planned and reviewed to the extent necessary to ensure that subprofessional and technical work is not performed by professionals.								
6. *Innovative climate.* The agency encourages and utilizes new ideas and innovations to the extent that optimum utilization is made of its manpower.								

SCORECARD FOR GUIDELINE

STAFF PROCUREMENT

GUIDING PRINCIPLE: **The state education agency should recruit personnel from the broadest possible market and should base selection on a competitive process that identifies the best qualified candidates for positions to be filled.**

The following items relate to major points in the guideline. Determine the extent to which each condition or activity exists and/or functions in your agency; then mark each item on the scorecard accordingly and note means for improvement.

	Does not apply X	Nonexistent 0	Ineffective 1	Needs improvement 2	Acceptable 3	Commendable 4	Outstanding 5	Ideas for improvement
1. *Recruitment base.* Recruitment is based on a sufficiently wide variety of candidate sources and a sufficiently broad geographic base to assure an adequate field of candidates.								
2. *Current employees.* Current qualified employees are adequately notified of vacancies and encouraged to apply for them.								
3. *Candidate development.* Appropriate means are used in the agency to identify and develop employees who have the potential for promotion.								
4. *Minimum qualifications.* Minimum qualifications are sufficiently broad to assure that individuals capable of filling a given position are not excluded from the selection process.								
5. *Selection methods.* For each position, the examination of applicants includes appropriate selection tools designed to determine specific skills and relevant behavior characteristics.								
6. *Review.* Validity and reliability studies are conducted periodically to ensure that selection tools are effective.								
7. *Recruitment costs.* Sufficient funds are available and are used to ensure an effective recruitment program.								

SCORECARD FOR GUIDELINE

FAIR AND EQUAL EMPLOYMENT OPPORTUNITIES

GUIDING PRINCIPLE: The leadership, strength, effectiveness, achievements, and influence of the state education agency call for personnel in professional and support staffs to be selected, appointed, assigned, and promoted on the basis of competency, qualifications, fitness for the job, and promise of future growth and development regardless of age, sex, religion, political party, veteran's status, national origin, or ethnic background.

The following items relate to major points in the guideline. Determine the extent to which each condition or activity exists and/or functions in your agency; then mark each item on the scorecard accordingly and note means for improvement.

	Does not apply X	Nonexistent 0	Ineffective 1	Needs improvement 2	Acceptable 3	Commendable 4	Outstanding 5	Ideas for improvement
1. *Forthright policy.* The agency has clearly stated, incisive, written policy statements that adequately define and support fair and equal employment opportunities.								
2. *Group consultation.* Consultation with competent representatives of groups concerned with fair and equal employment is sufficient to assure consideration of their viewpoints.								
3. *Procedure.* Fair and equal employment practices are part of the agency's regular procedures, and they are made known in and out of the agency through vacancy announcements, orientation materials, notices, administrative manuals, and speeches.								
4. *Selection standards.* Sufficiently objective selection standards have been developed and established to effectively prevent discrimination on the basis of sex, religion, age, ethnic background, veteran's status, political party, or other factors not related to job performance.								

Continued—

SCORECARD FOR GUIDELINE—Continued

FAIR AND EQUAL EMPLOYMENT OPPORTUNITIES

The following items relate to major points in the guideline. Determine the extent to which each condition or activity exists and/or functions in your agency; then mark each item on the scorecard accordingly and note means for improvement.

	Does not apply X	Nonexistent 0	Ineffective 1	Needs improvement 2	Acceptable 3	Commendable 4	Outstanding 5	Ideas for improvement
5. *Promotion*. Sufficiently objective means and procedures are used to ensure promotion of the most promising and competent personnel.								
6. *Vacancy announcements*. Announcements of vacancies and selection procedures are distributed and publicized as widely and extensively as appropriate for the positions vacant.								
7. *Talent sources*. The agency's recruitment program effectively taps promising sources of potential talent from majority and minority groups.								
8. *Screening*. Sufficient care is taken to ensure that standards used in the screening process do not require greater knowledge and skills than are needed in the position to be filled.								

3

SCORECARD FOR GUIDELINE

PROBATIONARY PERIOD AND FINAL APPOINTMENT

GUIDING PRINCIPLE: A probationary period long enough to determine an employee's competence should be required before final appointment is granted.

The following items relate to major points in the guideline. Determine the extent to which each condition or activity exists and/or functions in your agency; then mark each item on the scorecard accordingly and note means for improvement.

	Does not apply X	Nonexistent 0	Ineffective 1	Needs improvement 2	Acceptable 3	Commendable 4	Outstanding 5	Ideas for improvement
1. *Probationary period.* The agency has an established probationary period appropriate to each class of positions.								
2. *Personnel development.* During the probationary period, the agency is effectively assisting probationers in developing skills and acquiring knowledges needed to perform up to job standards.								
3. *Extending probationary period.* Adequate provisions are made to extend the probationary period in individual cases when the final appointment hinges upon the probationer's completion of work which would allow a more valid evaluation.								
4. *Performance evaluation.* Periodic performance evaluations of probationary employees screen out inadequate and borderline performers.								
5. *Separation.* Probationers who do not perform up to standard are separated from employment judiciously and expeditiously.								
6. *Review.* Decisions regarding final appointment are not subject to structured appeals; however, adequate informal review is available.								

SCORECARD FOR GUIDELINE

THE POSITION CLASSIFICATION PROGRAM

GUIDING PRINCIPLE: A position classification program encompassing professional and support staff positions which is responsive to change and provides a basic and dynamic framework for staff recruitment, pay, development, and utilization should be established in the state education agency.

The following items relate to major points in the guideline. Determine the extent to which each condition or activity exists and/or functions in your agency; then mark each item on the scorecard accordingly and note means for improvement.

	Does not apply	Nonexistent	Ineffective	Needs improvement	Acceptable	Commendable	Outstanding	
	X	0	1	2	3	4	5	Ideas for improvement
1. *Job information.* The classification program provides easily obtained job information concerning all positions and their relationships in the agency.								
2. *Program responsiveness.* The classification program provides adequate flexibility to reclassify positions and establish new classifications expeditiously.								
3. *Classification analysts.* There is an adequate personnel staff sufficiently trained in the techniques of position classification to assure an effective program.								
4. *Employee growth and utilization.* The classification plan provides an adequate career ladder and includes enough general and specialized classifications for effective utilization of employees.								
5. *Understanding.* Unit heads and top administrators sufficiently understand classification program principles and concepts, and staff members are well informed of classification program policies and procedures.								
6. *Plan development.* Procedures for development and modification of the classification plan adequately allow for development of new classes on the basis of what duties can be combined for the most effective operation of programs.								

Continued —

SCORECARD FOR GUIDELINE—Continued

The Position Classification Program

The following items relate to major points in the guideline. Determine the extent to which each condition or activity exists and/or functions in your agency; then mark each item on the scorecard accordingly and note means for improvement.

	Does not apply X	Nonexistent 0	Ineffective 1	Needs improvement 2	Acceptable 3	Commendable 4	Outstanding 5	Ideas for improvement
7. *Flexibility.* The classification plan and pertinent procedures adequately allow for reclassification of a position due to the effect of the incumbent on the duties and responsibilities.								
8. *Special positions.* Classifications are established which sufficiently recognize and reward incumbents of those positions requiring experts or individuals with highly specialized and creative skills.								
9. *Nonsupervisory classifications.* The classification plan adequately provides recognition of nonsupervisory personnel, where appropriate, through establishment of career ladders parallel to those for supervisory staff.								
10. *Subprofessional classifications.* The classification plan provides sufficiently high technical and clerical classifications to provide optimum delegation of subprofessional work.								

SCORECARD FOR GUIDELINE

WAGE AND SALARY ADMINISTRATION

GUIDING PRINCIPLE: A salary program, externally competitive and internally consistent, should be established in the state education agency to attract, retain, and motivate personnel most qualified to achieve its goals.

The following items relate to major points in the guideline. Determine the extent to which each condition or activity exists and/or functions in your agency; then mark each item on the scorecard accordingly and note means for improvement.

	Does not apply X	Nonexistent 0	Ineffective 1	Needs improvement 2	Acceptable 3	Commendable 4	Outstanding 5	Ideas for improvement
1. *Administrative basis.* Objective and continuing methods for effective wage and salary administration in the agency are adequately based in state law or agency policy.								
2. *Salary schedule.* The salary program encompasses a salary schedule, with rules and regulations for its use, that provides an adequate framework for objective and consistent salary decisions.								
3. *Competitive salary.* Salaries for the professional and support staffs are sufficiently competitive with those in other organizations to assure the appointment and retention of personnel to meet the needs of the agency.								
4. *Internal consistency.* Procedures for setting salaries within the agency are adequate to assure salary consistency among classifications.								

Continued —

SCORECARD FOR GUIDELINE—Continued

WAGE AND SALARY ADMINISTRATION

The following items relate to major points in the guideline. Determine the extent to which each condition or activity exists and/or functions in your agency; then mark each item on the scorecard accordingly and note means for improvement.

	Does not apply	Nonexistent	Ineffective	Needs improvement	Acceptable	Commendable	Outstanding	Ideas for improvement
	X	0	1	2	3	4	5	
5. *Salary incentives.* Agency policies and procedures ensure adequate salary increases to retain employees performing satisfactorily and to provide additional salary rewards for outstanding performers.								
6. *Salary differentials.* The salary differentials between classifications are sufficient to encourage and reward acceptance of promotions.								
7. *Appointments above the minimum.* The salary program adequately provides equitable means for making appointments above the minimum salary step when there are recruitment problems.								
8. *Employees informed.* Staff members are well informed concerning salary procedures and how salaries are set.								

SCORECARD FOR GUIDELINE

FRINGE BENEFITS PROGRAM

GUIDING PRINCIPLE: **A fringe benefits program that meets the particular needs of the professional and support staffs should be established in the state education agency; it should be sufficiently competitive with other public agencies and private firms to help attract and retain outstanding employees; and it should provide compensation for the loss of family income created by such matters as illness, accidents, unemployment, death, and retirement.**

The following items relate to major points in the guideline. Determine the extent to which each condition or activity exists and/or functions in your agency; then mark each item on the scorecard accordingly and note means for improvement.

	Does not apply	Nonexistent	Ineffective	Needs improvement	Acceptable	Commendable	Outstanding	
	X	0	1	2	3	4	5	Ideas for improvement
1. *Design.* The fringe benefits program is designed to meet adequately the particular needs and benefit preferences of the professional and support staffs of the agency.								
2. *Budgeted funds.* The percent of the agency payroll dollar spent for fringe benefits compares favorably with that in competitive organizations.								
3. *Coverage.* The program adequately covers the major causes of loss of family income for members of the professional and support staffs.								
4. *Information.* Staff members and prospective employees are well informed of fringe benefits available and how they compare with the fringe benefits in school districts and other organizations.								
5. *Direction.* The program is managed effectively by the personnel director, who is assisted by an advisory committee representative of the professional and support staffs.								

SCORECARD FOR GUIDELINE

COMMUNICATIONS

GUIDING PRINCIPLE: **To enhance team effort and to facilitate efficient work performance, the state education agency should establish the means for ensuring the systematic dissemination of information and two-way communications.**

The following items relate to major points in the guideline. Determine the extent to which each condition or activity exists and/or functions in your agency; then mark each item on the scorecard accordingly and note means for improvement.

	Does not apply X	Nonexistent 0	Ineffective 1	Needs improvement 2	Acceptable 3	Commendable 4	Outstanding 5	Ideas for improvement
1. *Systematic approach.* A systematic and expeditious means of internal communications and disseminating needed information is available.								
2. *Information officer.* The agency delegates sufficient responsibility for internal communications to an expert who uses efficient methods of disseminating information and who helps foster channels for two-way communications.								
3. *Techniques.* Sufficient opportunities are provided for employee expression and for internal communications among units and up and down the chain of command.								
4. *Involvement.* Personnel are adequately involved in the development of agency goals, policies, and programs to assure effective communications and team work.								
5. *Effectiveness.* Agency communications are sufficiently effective to keep employees appropriately informed and to provide supervisors with required feedback on progress toward goals.								

SCORECARD FOR GUIDELINE

EMPLOYEE ORIENTATION PROGRAM

GUIDING PRINCIPLE: To ensure effective adaptation of the new employee to the agency and to his work unit, the agency should provide him with an understanding of the agency's organization and functions, the work and purpose of his assignment and how it relates to agency objectives, what is expected of him and his relationship to the people with whom he will work, and opportunities for growth and development in the agency.

The following items relate to major points in the guideline. Determine the extent to which each condition or activity exists and/or functions in your agency; then mark each item on the scorecard accordingly and note means for improvement.

	Does not apply	Nonexistent	Ineffective	Needs improvement	Acceptable	Commendable	Outstanding	Ideas for improvement
	X	0	1	2	3	4	5	
1. *Responsibility.* The personnel director effectively plans and coordinates the entire orientation program.								
2. *Information.* Information which enables a new employee to function effectively as soon as possible has been identified, and efficient means of presenting it are used.								
3. *Belonging.* The employee orientation program effectively instills in new employees a sense of belonging to their work units and to the agency as a whole.								
4. *Work unit orientation.* New employees are promptly oriented to their work units and to their individual assignments through well-planned procedures and effective techniques.								
5. *Agencywide orientation.* Orientation of new employees to the agency as a whole is well planned and appropriately timed.								

SCORECARD FOR GUIDELINE

EMPLOYEE EVALUATION PROGRAM

GUIDING PRINCIPLE: **In order to realize the potential of its employees, the state education agency must establish an employee evaluation program that includes a plan to evaluate accomplishment of work objectives and additional plans for rating probationers, promotable employees, unsatisfactory performers, and outstanding performers.**

The following items relate to major points in the guideline. Determine the extent to which each condition or activity exists and/or functions in your agency; then mark each item on the scorecard accordingly and note means for improvement.

	Does not apply	Nonexistent	Ineffective	Needs improvement	Acceptable	Commendable	Outstanding	Ideas for improvement
	X	0	1	2	3	4	5	
1. *Coordination.* Coordination of the evaluation program adequately assures effective training of raters, involvement of staff members in determining objectives, and program review.								
2. *Records.* Adequate records of employees' past performance sufficiently assure identification of performance patterns.								
3. *Primary evaluation plan.* The primary goal of the program, that of developing employees to meet work objectives, is adequately met through continuous evaluation of employees by immediate supervisors.								
4. *Design of plans.* Separate plans are established to assure policies and procedures designed to meet each evaluation need of the agency.								

Continued—

SCORECARD FOR GUIDELINE—Continued

EMPLOYEE EVALUATION PROGRAM

The following items relate to major points in the guideline. Determine the extent to which each condition or activity exists and/or functions in your agency; then mark each item on the scorecard accordingly and note means for improvement.

	Does not apply	Nonexistent	Ineffective	Needs improvement	Acceptable	Commendable	Outstanding	Ideas for improvement
	X	0	1	2	3	4	5	
5. *Probationary rating.* A plan for the evaluation and recording of probationary employees' performance effectively identifies strengths and weaknesses and adequately serves as a means for making retention or separation decisions.								
6. *Salary decisions.* Adequate means are established for identifying unsatisfactory, satisfactory, and outstanding performers to assure equitable decisions regarding longevity and merit salary increases.								
7. *Promotional ratings.* Sufficient and effective means are established for obtaining written evaluations of promotable employees' potential for a given position.								

SCORECARD FOR GUIDELINE

EMPLOYEE DEVELOPMENT

GUIDING PRINCIPLE: **An employee development program should be established in the state education agency to improve employee performance, to prepare employees for promotion, and to retrain them because of changes in work needs or in individual work capacity.**

The following items relate to major points in the guideline. Determine the extent to which each condition or activity exists and/or functions in your agency; then mark each item on the scorecard accordingly and note means for improvement.

	Does not apply	Nonexistent	Ineffective	Needs improvement	Acceptable	Commendable	Outstanding	Ideas for
	X	0	1	2	3	4	5	improvement
1. *Development committee.* A committee representative of all segments of the agency staff effectively formulates employee development program goals and methods and encourages the use of such methods.								
2. *Responsibility.* Responsibility for coordinating the program, for designing specific training activities, and for advising employees and unit heads concerning individual development has been adequately delegated to, and is effectively carried out by, the personnel director or training officer.								
3. *Development needs.* Established policies and procedures adequately ensure that each employee and his supervisor identify employee development needs.								
4. *Inventory.* As a part of the employee development program, a complete inventory of all development needs in the agency has been compiled and is effectively used to determine training activities.								
5. *Activities.* Specific training activities, as well as work activities, are effectively used to meet development needs.								
6. *Evaluation.* Methods and procedures which ensure valid evaluation of the employe development program and each training activity are used.								

SCORECARD FOR GUIDELINE

EMPLOYER-EMPLOYEE RELATIONS

GUIDING PRINCIPLE: Procedures should be established in the state education agency to foster employer-employee relations which ensure that management recognize the needs and concerns of employees and that employees work productively toward achievement of agency goals.

The following items relate to major points in the guideline. Determine the extent to which each condition or activity exists and/or functions in your agency; then mark each item on the scorecard accordingly and note means for improvement.

	Does not apply	Nonexistent	Ineffective	Needs improvement	Acceptable	Commendable	Outstanding	Ideas for improvement
	X	0	1	2	3	4	5	
1. *Expression of views.* The agency has established an effective means for the expression of administrator and employee views.								
2. *Problem identity.* The agency uses efficient procedures to identify and resolve work problems before they become serious grievances.								
3. *Employee consensus.* Adequate means for the administration to learn employee consensus on issues is readily available whether or not an employee organization exists.								
4. *Employee organizations.* Where employee organizations exist, they are recognized and effectively contribute to the best interests of the agency.								
5. *Opinion on policy.* Means are readily available for securing employee opinion concerning policy decisions.								
6. *Written policy.* Positive, realistic, and clearly stated written policies on employer-employee relations and employee organizations have been formulated and are available to all.								
7. *Grievance procedure.* An orderly procedure for the hearing and adjustment of employees' grievances has been adopted, publicized, and followed.								

SCORECARD FOR GUIDELINE

GRIEVANCE PROCEDURE

GUIDING PRINCIPLE: **The state education agency should establish a written grievance procedure, known to all employees, which involves a committee in the resolution of staff complaints.**

The following items relate to major points in the guideline. Determine the extent to which each condition or activity exists and/or functions in your agency; then mark each item on the scorecard accordingly and note means for improvement.

	Does not apply	Nonexistent	Ineffective	Needs improvement	Acceptable	Commendable	Outstanding	
	X	0	1	2	3	4	5	Ideas for improvement
1. *Grievance procedure.* The agency has a written grievance procedure, which is well known to the professional and support staffs.								
2. *Grievance committee.* There is a grievance committee comprised of representative staff members, who are effectively involved in the resolution of grievances.								
3. *Periodic review.* The grievance procedure is reviewed periodically to assure a smooth and equitable operation.								
4. *Grievant representation.* The procedure makes adequate allowance for an employee to present his grievance or to have it presented through a representative of his choice.								
5. *Informal settlement.* The procedure effectively encourages informal resolution of grievances.								
6. *Complaint analysis.* The grievance committee periodically and effectively analyzes grievances to determine trends or complaints symptomatic of major problems and submits definitive reports concerning such matters to top administration.								
7. *Appeal board.* Grievances are effectively resolved by an impartial board or hearing officer when there is an impasse between the grievance committee and the chief state school officer.								

SCORECARD FOR GUIDELINE

Termination of Service and Disciplinary Actions

GUIDING PRINCIPLE: The agency should establish provisions for expeditiously terminating an employee's services or for taking other corrective actions when the employee's performance or conduct is unsatisfactory.

The following items relate to major points in the guideline. Determine the extent to which each condition or activity exists and/or functions in your agency; then mark each item on the scorecard accordingly and note means for improvement.

	Does not apply	Nonexistent	Ineffective	Needs improvement	Acceptable	Commendable	Outstanding	
	X	0	1	2	3	4	5	Ideas for improvement
1. *Disciplinary policy.* The agency has provisions for effectively terminating an employee's services when other corrective actions fail.								
2. *Procedures.* Written disciplinary procedures are clearly delineated, fair to all parties concerned, and expeditious.								
3. *Regulations and work requirements.* Personnel are advised and kept well informed concerning employee regulations, rules of conduct, and work requirements.								
4. *Due process.* The employee is protected from arbitrary or capricious action through adequate requirements for justification of disciplinary actions.								
5. *Employee rights.* Policies and procedures concerning discipline adequately provide the employee with a written notice of impending action, the right to appeal, and sufficient time to prepare an appeal.								

SCORECARD FOR GUIDELINE

PHYSICAL WORKING CONDITIONS

GUIDING PRINCIPLE: **The state education agency should provide a physical working environment which facilitates maximum performance by each employee.**

The following items relate to major points in the guideline. Determine the extent to which each condition or activity exists and/or functions in your agency; then mark each item on the scorecard accordingly and note means for improvement.

	Does not apply X	Nonexistent 0	Ineffective 1	Needs improvement 2	Acceptable 3	Commendable 4	Outstanding 5	Ideas for improvement
1. *Identification.* The personnel director adequately uses such means as opinion polls and employee committees to identify physical working conditions which adversely affect employee morale and efficiency.								
2. *Correcting deficiencies.* Agency management effectively corrects unsatisfactory conditions through outside agencies when necessary.								
3. *Space.* Adequate standards have been developed for allocating sufficient space for each employee's work site and to provide technical and professional employees with sufficient privacy to facilitate concentration.								
4. *Office facilities.* The agency has appropriately located its personnel in contiguous offices to facilitate team effort.								
5. *Heating, ventilation, and lighting.* Heating, ventilation, and lighting are maintained at proper standards.								
6. *Noise.* Adequate noise abatement techniques enable employees to work without strain or impairment to hearing; for example, noisy machines are isolated and acoustical materials are used.								
7. *Equipment.* The agency adequately provides appropriate, modern equipment and supplies for specified tasks and maintains an equipment maintenance and replacement program.								

SCORECARD FOR GUIDELINE

Line and Staff Responsibilities and Relationships

GUIDING PRINCIPLE: Officers in line positions of the state education agency, with counsel and advice from staff officers, should be responsible for educational program decisions and for policy decisions which will achieve agency objectives and stated goals.

The following items relate to major points in the guideline. Determine the extent to which each condition or activity exists and/or functions in your agency; then mark each item on the scorecard accordingly and note means for improvement.

	Does not apply	Nonexistent	Ineffective	Needs improvement	Acceptable	Commendable	Outstanding	Ideas for improvement
	X	0	1	2	3	4	5	
1. *Roles.* The roles of line and staff officers are sufficiently delineated and defined to assure effective team effort.								
2. *Decision making.* Top administrators sufficiently coordinate line and staff activities to assure that educational program decisions are made by responsible line officers.								
3. *Conflicts.* Conflicts between line and staff officers regarding decisions and roles are quickly resolved by top administrators.								
4. *Staff programs.* Staff programs and services are adequately developed to meet the needs of line officers.								
5. *Effective utilization.* Line officers effectively utilize the service and advice of staff officers for the achievement of agency objectives.								

VI

A Look Ahead

Personnel administration, which is an integral part of agency administration, is the strong right arm of top management. Its role in the state education agency will be magnified in the days ahead. Since personnel administration is concerned with the people whose work gives form and substance to an organization's policies, state education agency personnel administration will pervade all decisions made in the agency. The agency's effectiveness, then, will rely on a clear concept of personnel administration and on the extent to which attitudes of administrators toward the staff reflect that concept.

Indeed, the measure of a state education agency lies in the competency of the men and women who develop and operate the agency's programs. These are the persons who offer top leadership. These are the innovators of the agency. On them will depend the discovery and use of fertile opportunities for educational statesmanship—the keys to growth and prestige of the agency in the future. The know-how, experience, and judgment of these persons will be pitted against known factors such as tradition, deadly routine, time-consuming paperwork, rising costs of education, and the new methods and innovations which will characterize the future.

The strength of the state education agency lies in its personnel, and no segment of administration is of more fundamental and profound importance than personnel administration. A well-conceived, forward-looking, competent personnel program is a cardinal criterion of prudence in the management of the affairs and work of the agency. If the personnel program is to contribute liberally to the management of the agency in the days ahead, it must be imaginative, sagacious, and innovative, and it must be sensitive to agency needs. It must also be sensitive to change and be flexible enough to accommodate new programs and objectives. Its philosophy must be pragmatic.

The agency itself can no longer be regarded as a mere gatherer of statistical information and enforcer of legislative mandates relating to education. Nor can the agency simply be considered the provider of guidance and consultative services to school districts which are unable, by themselves, to solve their complex problems. Important as these functions are and will continue to be, the state education agency has a larger role to play in the administration of the state's system of education.

It is the agency's primary obligation to extend educational leadership to the legislature, the governor, local school authorities, other governmental agnecies, and the public at large. The agency must throw aside the tendency to be content with the old and tried and to look with suspicion on the new and untried. It must be alert to the need for organizational and structural changes and be willing to effect such change when necessary. Most particularly, the agency must initiate and foster those changes in personnel administration that will result in a productive and innovative leadership program at the state level.

In exercising its leadership role, tomorrow's state education agency will do the following:

- Accurately sense immediate and emerging patterns of need for and in education
- Effectively collaborate with interested lay and professional groups and individuals in planning for ways to meet these needs
- Assign priorities and apportion resources in the development of an overall plan by which problems may be solved
- Resist pressures from merely vocal or politically influential groups which seek special concessions in the name of educational development, and keep in mind the welfare of all the people
- Encourage local school systems to experiment in going beyond established minimum standards and mandated programs
- Effectively implement plans and programs of educational development, whether or not these may have total popular support
- Assure school districts an opportunity to choose valid alternative courses of action
- Evaluate objectively and accurately the outcomes of implemented plans and programs, as well as methods of implementation, so that when planning future priorities and allocations, the state education agency may have a sound basis for making

decisions and for developing or selecting from among alternative methods of implementation

To the end that these leadership functions may be exercised with facility and maximum effectiveness, the guidelines and scorecards contained in this report are offered for ready reference.

A Glance Backward

The state education agency has come a long way since the turn of the century. It has struggled up from relative obscurity to a position of recognition in the hierarchy of state government; the fact that it received special attention in the Elementary and Secondary Education Act attests to its growth and importance.

But progress has not been uniform throughout the 50 states. The education agency in some states has forged ahead rapidly—seeing clearly the educational needs of the people as these needs emerged, setting up the machinery for solving problems, and developing the professional staff with the necessary capabilities to discharge agency responsibilities. In other states, unfortunately, the agency has lagged behind. The result has been that the overall leadership and coordination required to develop and implement nationwide excellence in education has been unevenly distributed among the 50 states.

In the beginning—to approximately 1915—the state education agency functioned primarily as the center for preparing forms, making biennial reports, and gathering and sometimes disseminating statistical data. These duties were readily discharged by nonprofessional clerical staffs whose activities were carried on exclusively in the central office. Such work as could be classified as professional was left to the chief state school officer, who often found himself in the position of "playing it by ear." Thus, many local school officials, although their districts were becoming larger and more complex, had to rely upon their own resourcefulness to solve their problems.

In some of the states during that period, the legislatures became mindful of the need to establish provisions for governing the operation of their education agencies, particularly when such provisions had not been made by state constitutional authority. All too often these provisions, once in the statutes, were allowed to remain without review or amendment so that personnel policies and procedures quickly became obsolete and prevented the agencies' full development.

Between 1915 and 1930, the function of the education agency in most states was expanded to include inspectorial duties. The clerical staffs continued to operate in their usual capacity at the central office, but now there was also representation in the field. The new staff member—the inspector—was charged with the responsibility of examining local schools, particularly high schools, to assure that local school authorities were conforming in their respective districts to the regulatory controls over the operation of local educational programs laid down by legislative mandate or the rules and regulations of the state board of education.

These controls were meant to establish minimum educational standards within the individual states, but they were designed by individual legislatures or state boards without regard to similar controls set up by other states. Thus, "minimum educational standards" represented a variety of concepts and, except for their enforcement by the inspector, had relatively little in common. They usually applied to such broad areas as the safety of school buildings, efficiency of accounting systems, compulsory school attendance, and the teaching of required subjects. However, no provision was made for the state education agency to assist school districts in improving their educational programs. As long as the inspector could report that the minimum standards were or were not being met, he was considered to be discharging his duties faithfully. At the same time, however, he inadvertently might have been widening the breach between the education agency and the schools, for his quasiprofessional position gave him the authority to say only, "This task is being performed improperly." He was not to say, "This is how the task can be done effectively."

By 1930, what may be called the purely "clerical-statistical" and "clerical-statistical-inspectorial" stages in the development of the state education agency had passed into history, and the need to provide a more professional type of service had become almost painfully apparent. Most states had established minimum educational requirements, but few could be content with these. The problem of immediate concern was how to lift the states' educational programs to more productive levels than minimum standards allowed. The inspectorial function had been found to have limited usefulness in this regard and was being eliminated in some states.

What local school officials then required was the guidance of experts in all areas of program development, supervision of locally initiated experimental courses, the advice of consultants in locating and designing school plants, a centralized source of educational research for ready reference, and similar services. State legislatures, too, were beginning to look to their education agencies for the results of scientific inquiry on which to base broad educational policy legislation.

All of these needs strongly indicated a professionalized agency, one which could attract and hold men and women with special competencies and expertise in particular fields. Certain regulatory responsibilities were retained by the agency, but these became secondary to supervisory and consulting services. Thus, the "service stage" was ushered in, a period destined to last for approximately 30 years.

But problems arose concomitantly. As the agency grew in size and its functions increased and as personnel became more professionalized, it found itself increasingly hampered by factors over which it had little control. Most states had meager financial support for the agency; at least half of them were rigidly controlled by a department of finance, a state personnel agency, and a department of general services. The agency was bogged down in housekeeping chores, troubleshooting, and minutiae.

In its relations with school districts—despite the need of those districts for the services of the state education agency—the agency frequently became regarded as a dictatorial taskmaster, the imposer of individual concepts or pet theories, rather than a source of help and power in solving local educational problems. Surge for power on the part of other agencies of state government presented both political and organizational competition. And, too, the manifest interest of the federal government in education as administered by the states sometimes challenged the agency's effectiveness in performing its functions.

Less able and conscientious personnel than those who characterized the state education agency in most states might easily have felt threatened by all these pressures and have been willing to drift along with what seemed an inevitable tide; in some instances, this did happen. But, in general, the agency recognized the need for protecting its individual integrity and continued to serve whenever and wherever the need arose. In service to education, the agency did much to raise educational standards above the minimum which had seemed to suffice earlier. More than this, the agency began to move cautiously toward lifting itself out of the purely "service" role into its ultimate role: educational statesmanship and educational leadership. In this manner the agency passed through the frustrating—but by no means fruitless—1940s and 1950s.

Threshold of Tomorrow

The instauration of a sense of purpose in the state education agency witnessed during the first half of the 1960s bodes well for the future.

The professionalization of the agency, which began 30 years earlier, has placed the agency in a position to move ahead rapidly and to meet challenges as these arise. It is evident that the agency is at a great turning point in its history. How to build staff, how to obtain state administrative support, how to satisfy constituents, how to make the most effective use of federal help, how to handle related problems—it is in the interests of pointing the way to the solution of such problems that the guidelines and scorecards presented in this report have been developed. The service cycle is by no means complete; it has only widened. Instead of merely responding to requests for service, areas of service must now be initiated at the state level.

There are pressing needs evidenced in the dynamics of social change occurring in the nation. The agency must be quick to recognize these and to implement innovative action to meet them. Highly qualified personnel are needed to create, direct, modify, and administer these needed services. What, for example, should be done about the continuing need to increase the efficiency of the teaching-learning process? Does teacher supply and demand mean greater attention to content or to method? If so, how is this classic dilemma to be resolved? How can the curriculum be modified to meet space age requirements? In what way can vocational technicums be updated for constantly changing purposes? Who will rise in educational statesmanship with dramatically successful programs for the economically deprived and ethnologic minorities? The needs are here. Now is the time for the state education agency to field its best personnel to meet these needs.

That the state education agency is in a favorable position to meet emerging needs might appear evident from a comparison of total staff in 1950 with that of 1965 and 1967. Whereas the 9,550 employed at midcentury by state education agencies nationwide were 4,122 professional and 5,428 support staff,[1] by 1965 these figures had increased to 5,837 and 7,654, respectively, for a total of 13,491, a rise of 41 percent.[2] In 1967, just two years later, the number employed on professional staffs alone (14,672) exceeded the number on both types of staffs in 1965; this number, together with the 16,706 support staff, brought the total to an unprecedented 31,378.[3] Thus, the total number of employees in state education agencies more than doubled in two years. Admittedly, these figures suggest great strength at the professional level, but it should be pointed out that the increase in agency staffs from 1965 to 1967 is largely accounted for by federal programs initiated under Public Law 89-10, the Elementary and Secondary Education Act of 1965.

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[1] Fred F. Beach and Andrew H. Gibbs, *The Personnel of State Departments of Education.* Prepared in cooperation with the Study Commission of the National Council of Chief State School Officers. U.S. OFFICE OF EDUCATION MISCELLANEOUS SERIES, No. 16. Washington: Federal Security Agency, Office of Education, 1952, p. 6.

[2] *Reinforcing the Role of States in Education, The Second Annual Report of Advisory Council on State Departments of Education.* Washington: U.S. Department of Health, Education, and Welfare, 1967, p. 67.

Although the number of state education agency personnel has been greatly increased, especially in recent years, the agencies need additional personnel to staff programs and activities which state legislatures and the federal government increasingly have been delegating to the state education agency.[4] Thus, the need today and tomorrow for obtaining more personnel who are highly qualified to discharge the duties incumbent upon the state education agency is more acute than it has ever been.

Can the personnel administration program in the agency cope with the problems facing it in the years ahead? The answer must be a qualified one. Prime among the qualifications is leadership. From the chief state school officer through the list of professional and support staff members, the quality of leadership must be high, inspired, and dynamic. Planned initiative, positive beliefs, a sequence of successes, and a widening awareness on the part of both those serving and those served will reflect the new vision of each state education agency in the 50 states and their personnel programs. Without these attributes, the future of the agency could be in jeopardy, for there are always "volunteers" willing to step in to do the work that needs to be done, especially if those who are supposed to be doing it do so in a pedestrian or token fashion. Thus, functions rightfully belonging to the state education agency under legislative enactment and state constitutional mandate can be lost to an agency if it neglects its duties.

In the face of this possible danger, it is clear that unless the state exercises its inherent and expected role in education, the federal government, under the "general welfare" clause of the Constitution, will endeavor to carry out the task even though its attempts may be fragmented, unsystematized, confused, and confusing. Many states, through the state education agency, are aware of this and are even now attempting to evaluate current programs. Such evaluation must be a continuous process—not an expedient quickly developed to assure eligibility for federal funds.

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[3] Based on responses to questionnaires sent to 50 state education agencies by the Project Director.

[4] Illustrative of these are: apportionment of state and federal funds, audio-visual education, certification of teachers, compensatory education, education of migrants, National Defense Education Act, school district organization, school housing, special education, vocational education, and vocational rehabilitation.

As far as education is concerned, the state government and the federal government have different roles. The state government is concerned with standardization and equalization of educational opportunities and benefits and with the collection of taxes needed to support the schools; the federal government is concerned with manpower, national productivity, technical exploration, and scientific advance. A state government, through its state education agency, is responsible for the never-faltering business of seeing that balance is maintained—that the schools fulfill the aspirations of the people and meet the educational needs of the state. The federal government's chief interest in state educational programs stems from its concern for the national welfare.

It seems the federal government's primary role in public education is to provide funds to stimulate educational efforts in the several states, particularly when educational costs outrun the ability of state and local governments to pay for them. It is highly likely that in future cooperative endeavors between the state and the federal government, the latter will remain, as former U.S. Commissioner of Education Francis Keppel called it, "only the junior partner." But it is equally probable that, unless the "senior partner" fulfills its obligations to its constituents, the "junior partner," through the willing proxies of those constituents, may well assume control of the enterprise. Thus, the states will need to make sure that the education agency is fully able to discharge all of its duties and responsibilities. Only the strong agency can do this.

Agency Career Personnel

What makes an agency strong? Certainly, policy alone or rules and regulations governing the sequence in which tasks are performed will not make it strong. Neither can the sheer weight of numbers guarantee strength. It is the leadership ability of the personnel who man the agency that determines the quality of agency performance.

Agency career personnel should have varied talents and backgrounds and be adequate both in number and professional competency. They must, first of all, be innovators—men and women of deep perceptive powers, sensitive to the educational needs of citizens engendered by recurring changes in the social and economic structure of the state, by scientific discovery, and by technological advancement. They must be imaginative, creative, and able to envision, in the future, whole new and promising programs suggested by segments of research. They must possess both personal and professional qualifications that will cause them to be recognized throughout the state as educational leaders. They must be prepared, through educational training and experience, to point the way for the local system to produce more sophisticated generations of young people in the years ahead. They will include among their numbers top-quality technicians who maintain the state education agency processes and procedures, as well as professional educators who stand high among their peers and who are charged with the tasks of overcoming substandard educational programs and of initiating, organizing, coordinating, and supervising new programs that adequately meet the state's educational needs, both current and emerging.

Men and women of this caliber are not easy to "come by." Yet, upon such personnel depends the discovery and cultivation of fertile fields for educational statesmanship and the agency's consequent growth and prestige. This implies the need for employees specially trained for service in the state education agency. It suggests the establishment, either within the agency itself or in colleges and universities, of preservice and inservice training programs for agency career personnel. Training alone cannot, of course, endow employees with the personal characteristics necessary for educational leadership at the state level. But, given men and women already so endowed—and they can be found—formalized training for career personnel in the state education agency will assure the kind of leadership essential for nationwide excellence in education.

A Look at Future Personnel Administration

A tragic circumstance uncovered by this study is the fact that the state education agency often is hampered by rigid controls from other state governmental agencies so that innovative, imaginative, vigorous education agency policies, decisions, and programs are virtually nonexistent. If the state education agency of tomorrow is to fulfill its leadership role in the highest degree, these controls must be lifted.

Another tragic circumstance observed is that personnel administration in the state education agency is so hampered by a lack of administrative leadership and an adequate professional staff that no personnel program exists in some agencies. Agency administrators, with the assistance of a highly qualified professional personnel staff, must provide the leadership necessary for the disciplined practice of personnel administration and the development of an effective personnel program.

In order for the state education agency to realize its full potential in the coming decades of the twentieth century, it should, as minimum goals, provide or employ the following:

1. Increased sophistication in recognizing and developing intrinsic motivating factors
2. Readily available skill profiles of all employees and potential candidates through electronic data processing
3. Projections of the agency's personnel needs ten years in the future
4. Formulation of long-term goals (two, five, and ten years) for work units and individuals
5. Methods of selection that will give reliable indications of candidates' performances on the job and commitment to the agency
6. Highly accurate means of identifying and making the optimum use of individuals' strengths and possible talents
7. A classification plan which accommodates a person's capacity to raise the value of his position and provides proportionate salary recognition—a plan that will provide methods for better differentiating between levels of professional work performed in terms of the talents and energies which an incumbent brings to his assignment
8. Salary-setting methods which will achieve and maintain salaries comparable to competitive organizations
9. An employee benefits program that will allow individual choice and selection among alternatives to meet individual family needs
10. A program for the initial training and continued development of managers and supervisors in the area of human relations and personnel utilization
11. Means for recruiting and developing a professional personnel staff that is technically competent, trained in administration principles, and sensitive to employee motivation
12. Monetary rewards, in addition to salary increments, for unit heads and administrators when creative work and accomplishments go beyond normal standards

In the future, when the state education agency is free from outside controls and when it develops a vigorous personnel program, it will be in a position to make better utilization of personnel, to recruit competent new personnel, and to compete on an equal footing in the labor market. Once this has been accomplished, state education agency personnel can develop the creativity and the means to make an important contribution to society. They will stand tall, purposefully creating and preparing the way for the twenty-first century.

Appendix A

Origin and Nature of the Project

This project was authorized by the U.S. Department of Health, Education and Welfare, Office of Education, Division of State Agency Cooperation, Washington, D. C., under Title V of the Elementary and Secondary Education Act, Section 505 of Public Law 89-10, Special Project Grant.

Application for Grant

The application for the grant to develop means of strengthening state education agencies under the Elementary and Secondary Education Act of 1965 was made in April, 1966. The applicant responsible for administration of the project was the California State Department of Education, and the states participating in the project were California, Connecticut, Delaware, Ohio, and Oklahoma.

These five states were chosen as the participants in the project because it was believed that participating states should represent a fair geographical distribution; that both large and small states should be represented; that the personnel programs in the participating state education agencies should differ in stages of development; that the organizational structure of the education agencies should vary among the participating states; and that the participating state agencies should be representative both of those in which agency personnel were "controlled" by a state civil service system and of those in which personnel were not so controlled. Finally, an important factor in selecting these states was the interest of their education agencies in the project and their willingness to allocate manpower to the project and cooperate in making the study.

The duration of the project, as stated in the application, was to be from April 1, 1966, to June 30, 1967, and the project was funded on May 17, 1966, to the extent of $145,271. Of this amount, $31,183 was requested for the 1966 fiscal year. After a delay in launching the project, the office force was recruited, headquarters were secured, and the Project Office, located in the old State Building, Los Angeles, California, was opened September 21, 1966. Work actually began about the first of October.

Since the project was approximately six months late in getting started, it became clear that it could not be completed during fiscal year 1966–67. It was impossible to do in nine months the work that was planned for 15. Accordingly, in June, 1967, the Project Director with the advice of the Advisory Committee asked that the project be extended to December 31, 1967. The request was granted.

The "Application for Grant" contains the following "Certification of State Education Agency" which was signed by the Chief Deputy Superintendent of Public Instruction, State of California:

> I CERTIFY: That as the official authorized to submit this application, all the statements contained herein are true to the best of my knowledge and belief; that the above State through the State Educational Agency hereby submits this application for a grant, to such agency for the above fiscal years under the provisions of Section 505 of Title V of Public Law 89-10, the "Elementary and Secondary Education Act of 1965" (and rules and regulations applicable thereto). IT IS AGREED that the Federal funds provided under this grant will represent the Federal share of expenditures incurred by this Agency as the administering agency for the project described hereinafter and that this special project consists of experimental projects designed for developing State leadership or the establishment of special services which are judged to hold promise of making a substantial contribution to the solution of problems common to the State Educational Agencies of all or several States as provided in Section 505 of the Act.
>
> IT IS FURTHER AGREED that this application, or amendments thereto, will constitute the basis for operation and administration of the programs, projects, and activities in which Federal participation under basic grants will be requested: the fiscal administration of this application submitted herewith will be in accordance with the established Agency procedures as described in said application and attachment thereto.
>
> DISCRIMINATION PROHIBITED—Title VI of the Civil Rights Act of 1964 states: "No person in the United States shall, on the ground of race, color, or national origin, be excluded from participation in, be denied the benefits of, or be subject to discrimination under any program or activity receiving Federal financial assistance."

Contained in the "Application for Grant" was a description of activities which were proposed to be undertaken, and methods and arrangements for working toward project objectives were set forth in Section A—Item II:

> a. A "review" will be undertaken of existing personnel practices within a selected group of State Education Agencies plus, if appropriate, other state agencies. This will be a *review,* and not an *investigative* procedure. It will consider all types of personnel actions, and will be restricted to neither hiring and assignment nor racial discrimination alone. This review will be directed toward sound staff procurement and utilization practices as well as toward equal rights and opportunities.

b. Using the materials and information acquired from the review, the project staff shall, in consultation with the participating states, develop a draft of "A Guide for the Self-evaluation of Personnel Practices in a State Education Agency." This guide shall include statements of purpose and directions for use as well as an outline of general and specific personnel functions of a State Education Agency, including projection of staff needs, recruitment, selection, assignment, training, promotion, transfer, job classification, grievance, and employer-employee relations.

c. Upon the completion of this draft, each of the participating states shall serve as a host for a regional conference of state representatives to consider comments on the guides, suggestions for change, and applications of guides to respective State Educational Agencies.

d. Following these regional conferences, the project staff shall incorporate suggestions for changes as appropriate into the guide on personnel practices in State Education Agencies, to include guidelines on equal and fair employment practices and opportunities, regardless of race, creed, religion, or sex.

An advisory committee, consisting of at least one representative from each participating state, will be responsible to oversee the development and implementation of the project. The project staff will be employed by the administering state and will report progress and needs to the advisory committee at regular intervals. The project staff shall obtain and prepare the materials and publications associated with the project and shall provide such personnel and other resources as are required for the planning and conducting of the regional conferences.

Administration of this project will be assumed by the applicant state. The participating states will designate one representative to the project's advisory committee.

These representatives shall be indidividuals in state agencies who are responsible to the Chief State School Officer in the subject states in the area of personnel management. The committee shall have primary responsibility for the overall coordination of the project and for the development of policy particularly related to the dissemination of information concerning the project and its outcomes.

The project staff, to be employed by the administering state, will consist of a director and appropriate other professional, clerical, and consultant help.

The project will rely to a considerable extent upon the use of consultants from various fields, including education, business and personnel management, law, labor relations, sociology, and from the various public agencies at the local, state, and national levels.

When it is evident that the purpose of this project can best be served by having some clerical, machine, or consultative services furnished by another organization, a contract will be made with that organization. Such contracts may be made with universities and other public agencies, as well as private agencies. Contracts with these agencies will include all the provisions of Section 119.40 of the Regulations for Title V of the Elementary and Secondary Education Act of 1965.

Administration of the Project

The Advisory Committee was composed of Everett T. Calvert, Chief Deputy Superintendent of Public Instruction, and Chief, Division of Departmental Administration, State Department of Education, Sacramento, California; William H. Flaharty, Deputy Commissioner of Education, State Board of Education, Hartford, Connecticut; Raymond A. Horn, Director, Division of Federal Assistance, Ohio Department of Education, Columbus, Ohio; Ronald Strumbeck, Supervisor, Adult Education, State Department of Public Instruction, Dover, Delaware; and Earl Cross, Assistant State Superintendent, State-Federal Programs, Oklahoma State Department of Education, Oklahoma City, Oklahoma. The committee accepted the responsibility to oversee the development and implementation of the project. It faithfully performed this function.

The Project Director was Lloyd N. Morrisett, Sr.; Larry Voss served as Assistant Director, and Byron Lewis as Research Associate. A representative of the U.S. Office of Education, although not always the same person, served as coordinator for the project. Acting in this capacity were James P. Steffensen, Alfred Bisset, Charles E. Trotter, Jr., Gene Fusco, and Marcel R. DuVall.

Appendix B

Examples

Colleges and Universities with Predominantly Negro Enrollments and Strong Graduate Divisions

Atlanta University, Atlanta, Georgia
Fisk University, Nashville, Tennessee
Howard University, Washington, D. C.
Morgan State College, Baltimore, Maryland
North Carolina College, Durham, North Carolina
Talladega College, Talladega, Alabama
Texas Southern University, Houston, Texas
Virginia State College, Petersburg, Virginia
West Virginia State College, Institute, West Virginia
Xavier University, New Orleans, Louisiana

Appendix C

Glossary

Administration—A function of the state education agency; the execution of policies as distinguished from policy decision-making; the organization, management, and operation of the agency

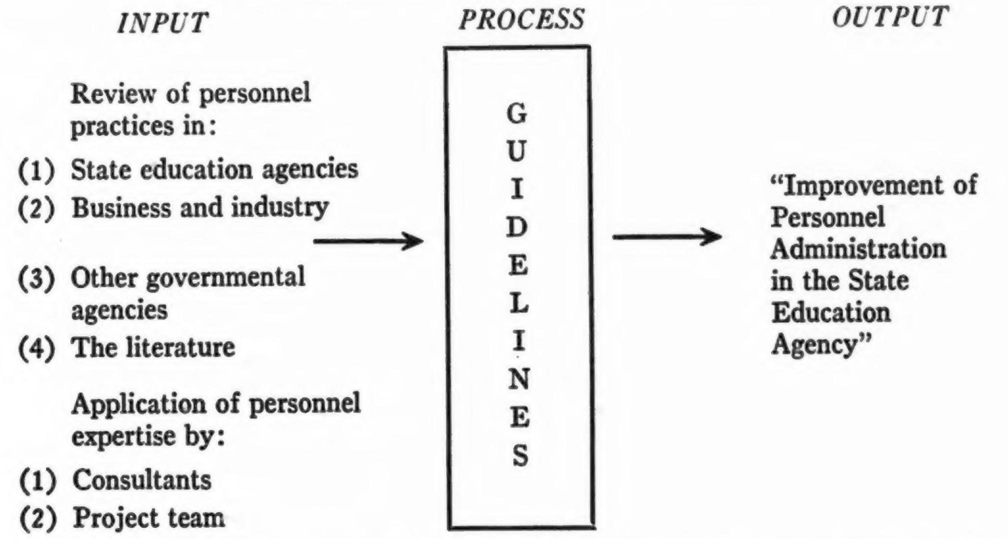
Chief state school officer—The chief administrative officer of the state education agency, whose official title varies among the states; e.g., state superintendent of public instruction, state superintendent of public education, state commissioner of education

Classification or class—The term used for a group of positions encompassing duties and responsibilities similar in kind and difficulty to the extent that the same salary level and background requirements can be established for incumbents

Classification series—A group of classifications covering similar work but differing in level of responsibility, such as typist-clerk, intermediate typist-clerk, and senior typist-clerk

Guideline—A statement recommending goals, standards, and courses of action for the improvement of personnel administration in the state education agency (*Note*: The guidelines in this report were formulated on the basis of the model shown.)

MODEL
"A GUIDELINE IS A MEANS TO AN END"


INPUT
PROCESS
OUTPUT
Review of personnel practices in:
(1) State education agencies
(2) Business and industry
(3) Other governmental agencies
(4) The literature
Application of personnel expertise by:
(1) Consultants
(2) Project team
GUIDELINES
"Improvement of Personnel Administration in the State Education Agency"

Key classification—A position classification in the agency to be included in a salary survey because of its comparability to positions in competitive organizations, and because the salaries of other classifications in the agency can be determined by their relationship to it

Leadership—The efforts and influence of the state education agency in improving the quality of education through the introduction of educational innovations, which is accomplished by reliance on effective personal contact, imagination, and new and tested methods and programs

Line officer—An employee who has responsibility and authority for administering a division (or unit) which is charged with a portion of the leadership and service functions of the agency

Minority group—An aggregate of individuals identifiable as persons having specific racial, national, or religious backgrounds who have problems in the job market

Participating state agencies—The education agencies of the five states which made application for the grant to support this project: California, Connecticut, Delaware, Ohio, and Oklahoma

Personnel administration—The recruitment, organization, management, and supervision of employees in a given jurisdiction—in this instance, the state education agency—for the purpose of realizing maximum effectiveness and efficiency in the achievement of agency goals

Personnel policy—A guide to management defining alternate courses of action and leading to procedure

Position classification—The systematic placement of positions with similar duties and responsibilities into classes

Professional staff—Unless otherwise stated, employees in a state education agency trained for careers in education and filling positions requiring professional competency and experience in the fields of their educational specialties; e.g., consultant in secondary education, supervisor of adult education, director of guidance, director of vocational education, assistant superintendent of instructional services

Program budgeting—Allocation of funds on a lump-sum basis by program rather than on a detailed line-by-line basis (Program planning is quantified and integrated with fiscal requirements in terms of agency objectives and goals, covering an extended period of time in order to set forth clearly the financial needs of programs.)

Rules and regulations—Enforceable directives or commands issued by an executive authority; e.g., the length of the probationary period for support staff appointments

Salary differential—The difference in pay, usually expressed in percents, between classifications in a series, or between kinds of classifications such as between an entry level and full supervisory level

Salary schedule—A pay scale which shows ranges of compensation and the salary increments within them

Scorecards—Tools for evaluating a segment or element of the state education agency personnel program (Scorecards are contained in Chapter V of this report.)

Selected state agencies—The 16 state education agencies selected to give the project broader coverage: Colorado, Florida, Georgia, Hawaii, Illinois, Indiana, Iowa, Michigan, Missouri, New Jersey, New York, Oregon, Pennsylvania, Tennessee, Texas, and Washington

Service function—That work which is performed by the agency to aid the public schools of the state, other governmental agencies, and allied organizations as mandated by law or requested

Staff officer—An employee of a specialized unit (or division) who has responsibility with appropriate authority for rendering internal service and providing counsel, in his area of expertise, to the agency line officers, with the further responsibility of seeing that his unit carries out adopted policies and decisions made by top administrators

State education agency—The department or branch of state government responsible for the administration and supervision of public education at the state level—commonly called "state department of education"

State personnel agency—The state agency and its policymaking board responsible for administering a centralized state civil service system

Support staff—Employees in a state education agency filling positions which require neither experience nor professional competency in the discipline of education—sometimes referred to as "classified" personnel—but including persons of competency in other professional fields; e.g., architects, rehabilitation counselors, engineers, planners, librarians, personnel directors

Top administrators—The chief state school officer and personnel in the first administrative level below him

Unit head—The director of a program or organizational segment of the agency, such as the directors of Title I, NDEA, research, personnel, guidance and special education; may be a top administrator, a line or staff officer

Appendix D

Selected References

Books

Argyris, Chris. *Personality and Organization.* Evanston, Ill.: Harper & Row Pubs., 1957.

The impact of organizational participation upon the individuals who work in the organization is analyzed, and ways to fuse the hopes, desires, and ambitions of employees with the goals of the organization are suggested.

Belcher, David W. *Wage and Salary Administration* (Second edition). Englewood Cliffs, N. J.: Prentice-Hall, Inc., 1962.

A rationale for examining wage and salary problems in industrial settings is developed. The author includes current research on the various problems and supplies interpretations leading to possible ways of solving current dilemmas.

Bennis, Warren G., and Others. *The Planning of Change: Readings in the Applied Behavioral Sciences.* New York: Holt, Rinehart & Winston, Inc., 1961.

The readings in applied behavioral science on social change include selected articles written by behavioral scientists during the period since 1940. Included are such authors as Argyris, Benne, Bennis, Lewin, Likert, Mayo, McGregor, Roethlisberger.

Campbell, Roald F., and Others. *Strengthening State Departments of Education.* Chicago: University of Chicago, Midwest Administration Center, 1967.

This monograph develops suggestions and recommendations useful to those seeking to strengthen state departments of education.

Fawcett, Claude W. *School Personnel Administration.* New York: The Macmillan Co., 1964.

In a brief volume, the author provides a succinct management rationale for personnel administration, applies that rationale to the major current problems of school personnel administration, and recommends the parameters for a personnel department.

French, Wendell. *Personnel Management Processes.* Boston: Houghton Mifflin Co., 1964.

Accepting goal-oriented management as the basis of personnel administration, the author examines current research on employee behavior and recommends procedures for utilizing current knowledge in personnel practice. Although the book is intended for use in industrial and business management, it is useful in describing the parameters of personnel administration in public agencies.

Lieberman, Myron, and Michael H. Moskow. *Collective Negotiations for Teachers*. Chicago: Rand McNally & Company, 1966.

Collective bargaining for teachers is examined within the classic subjects used by writers on collective bargaining for industrial and business employees. This is an exhaustive treatment of the subject in terms of information currently available.

Likert, Rensis. *New Patterns of Management*. New York: McGraw-Hill Book Company, Inc., 1961.

Development of human relations-oriented management in different organizations. This statement shows how research in the behavorial sciences has been used to develop new styles of management responsive to different kinds of persons with their individual personal motivations.

McGregor, Douglas. *The Human Side of Enterprise*. New York: McGraw-Hill Book Company, Inc., 1960.

The author poses theories X and Y in terms of behavior of individuals in organizations. He obviously supports the latter theory, which holds that organizations need to manage through goal structures, to expect employees to want to perform well, to provide supervision through participation by managers, and to revise job assignments as employees' skills change.

Selznick, Philip. *Leadership in Administration: a Sociological Interpretation*. Evanston, Ill.: Harper & Row Pubs., 1957.

The author views administration as a goal-setting process of securing attachment of employees to those goals, and of regulating all administrative matters in reference to this organizational process.

Periodicals

Brown, Robert L. "Imperatives for Job Success," *Personnel Journal*, XLV (September, 1966), 478-83.

In this article, the author analyzes the conditions under which the employee is best enabled not only to work at his full potential but also to achieve success in terms of the goals of the organization.

Cassidy, Charles E. J. "Electronic Data Processing and the Personnel Function: The Present and the Future," *Personnel Journal,* XLV (June, 1966), 352-54.

This article summarizes the use of electronic data equipment in personnel administration in 70 companies and details the many different ways in which personnel usage of equipment is possible.

Janes, Harold D. "Mainsprings of Motivation in Unskilled Production Work Groups," *Personnel Journal,* XLV (June, 1966), 362-70.

This is a report of an intensive study in a company employing more than a thousand people. Accepting the rationale of Douglas McGregor's theory Y, the author makes a series of insightful recommendations applicable in many different organizations.

Loury, George C. "Facing the Future in Personnel Administration," *The Personnel Administrator,* X (July-August, 1965), 15.

Citing Frederik Herzberg's study on employee motivation and a follow-up study at Texas Instruments, Inc., the author of this article makes suggestions concerning the motivation of more sophisticated employees who are working at technically efficient levels, but in emotionally sterile situations.

Pease, Hugh M. "Design for People, Too," *Personnel Administration,* XXIX (May-June, 1966), 22-30.

This article emphasizes the necessity for designing positions to fit people available to occupy them. The total number of individuals available to perform the work of the organization may be reduced, and more work satisfaction for those employed may be provided.

Snyder, Omar. "Employee Classification in a Research Laboratory—The Stanford Linear Accelerator Center Plan," *College and University Personnel Association Journal,* XVII (May, 1966), 1-13.

This is a case report on the procedures used in establishing a job classification system for salary determination at the Stanford Linear Accelerator Center. The system is unique because the organization employs more Ph.D.'s than laborers and more engineers than machinists. This is an illustration of a man-oriented rather than a job-oriented center.

Steinmetz, Lawrence L. "PERT Personnel Practices," *Personnel Journal,* XLIV (September, 1965), 419-24.

The author points out the cumbersome operation of PERT when it is applied to personnel systems and suggests the CPM or Critical

Path Methods, and he shows how it might be adapted to the recruitment of college personnel for corporations.

Valant, Laurence B. "Motivation for Effective Performance," *The Personnel Administrator,* X (September-October, 1965), 10.

This article reviews the work of Abraham Maslow and Douglas McGregor and others in personnel motivation and suggests that personnel managers must be able to translate research in behavioral science into cues, hunches, and suggestions for management practice; also, that the personnel manager must be able to apply the research.

Webber, Ross A. "The Roots of Organizational Stress," *Personnel,* XLIII (September-October, 1966), 32-39.

Analyzing organizational stress and concluding that it is produced by organizational weaknesses, the author suggests ways in which an organization can be modified to help reduce stress.

Wollett, Donald W. "The Public Employee at the Bargaining Table: Promise or Illusion?" *College and University Personnel Association Journal,* XVII (February, 1966), 20-27.

The essential dilemma in which the Association of Governmental Employees finds itself when bargaining with the government is described by the chairman of the American Bar Association Committee on Collective Bargaining for Governmental Employees. The communicative process essential to responsible Association activity is suggested.

Journals

Administrative Science Quarterly

This quarterly journal is published in Ithaca, New York, by the Graduate School of Business and Public Administration, Cornell University. Its first publication was made available in June, 1956. Strongly oriented to behavioral sciences, its editorial selection provides many excellent research articles about the relation of employees to organizations.

Public Personnel Review

This quarterly journal is published by the Public Personnel Association, Room 240, 1313 East 60th Street, Chicago, Illinois 60637. The publication provides articles, research, and cases in point concerning civil service personnel practices.

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